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ABSTRACT

Papers from the joint meeting are assembled in this document. Each of the meeting's five program sessions featured presentations by a Standing Conference of National and Universal Libraries (SCONUL) director and an Association of Research Libraries (ARL) director. The presentations highlight perspectives from both sides of the Atlantic and are intended to provide a basis for understanding the challenges faced by the member institutions of both groups. The program sessions covered: (1) "Sharing Resources: Do We Have Valid Models?" (Brian Burch, University of Leicester, and David H. Stam, Syracuse University); (2) "In an Environment with Limited Funding, How Can Research Libraries Increase Their Effectiveness for Collection Development and Sharing?" (Reg Carr, University of Leeds, and Graham R. Hill, McMaster University); (3) "How Can Local and National Collection Development Policies Be Linked with Each Other and Related to International Preservation Responsibilities?" (James F. Govan, University of North Carolina, and Michael Smethurst, British Library); (4) "How Can Collection Development and Management Be Most Effectively Organized and Staffed?" (Barry Bloomfield, British Library, and Sheila Creth, University of Iowa); and (5) "Is Stimulation of Cooperative Interinstitutional and Multinational Planning of Collection Development Worth the Effort?" (Fred Radcliffe, University of Cambridge, and Martin D. Runkle, University of Chicago). Appendices include a summary of the ARL business meeting, a report on association activities, a list of participants in the joint meeting, and descriptions of ARL and SCONUL. (SD)

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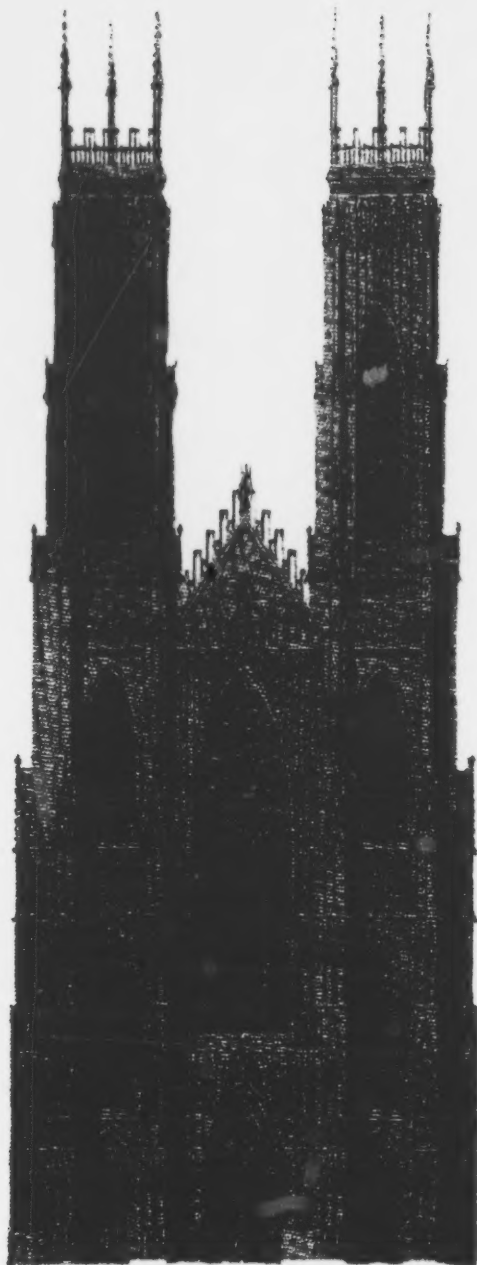
standing conference of national and university libraries

Joint Meeting at the
University of York
September 19-22, 1988

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their development,
management, preservation,
and sharing

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september 19-22, 1988

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TABLE OF CONTENTS

Foreword	1
Presiding Officers and Program Committee	3
<i>Photo:</i> Participants at the ARL/SCONUL Joint Meeting	5
Keynote Addresses: Research Libraries in the University Setting	
Research Libraries—A National Strategy? A.J. Forty, <i>University of Stirling</i>	9
The Research Librarian and the Research Scholar: Toward a New Collegiality Jaroslav Pelikan, <i>Yale University</i>	13
Session I: Sharing Resources: Do We Have Valid Models?	
Brian Burch, <i>University of Leicester</i>	25
David H. Stam, <i>Syracuse University</i>	43
Session II: In an Environment with Limited Funding, How Can Research Libraries Increase Their Effectiveness for Collection Development and Sharing?	
Reg Carr, <i>University of Leeds</i>	49
Graham R. Hill, <i>McMaster University</i>	71
Session III: How Can Local and National Collection Development Policies Be Linked with Each Other and Related to International Preservation Responsibilities?	
James F. Govan, <i>University of North Carolina</i>	81
Michael Smethurst, <i>British Library Humanities and Social Sciences Division</i>	85

Session IV: How Can Collection Development and Management Be Most Effectively Organized and Staffed?

Barry Bloomfield, <i>British Library Humanities and Social Sciences Division</i>	99
Sheila Creth, <i>University of Iowa</i>	105

Session V: Is Stimulation of Cooperative Inter-Institutional and Multi-National Planning of Collection Development Worth the Effort?

Fred Ratcliffe, <i>University of Cambridge</i>	119
Martin D. Runkle, <i>University of Chicago</i>	125

Closing: Summary and Comments

Charles E. Miller, <i>Florida State University</i>	133
Michael Smethurst, <i>British Library Humanities and Social Sciences Division</i>	137

APPENDICES

A.	Summary of ARL Business Meeting, September 19, 1988	143
B.	Report on Association Activities, June 1988 - August 1988	149
C.	Attendance at ARL/SCONUL Joint Meeting	
	Institutional Representatives	164
	Staff	169
	Guests	169
D.	Association of Research Libraries	
	Description	170
	Board of Directors, Committees, Staff	171
	Membership	172
E.	Standing Conference of National and University Libraries	
	Description	176
	Council, Committees, Staff	177
	Membership	178

FOREWORD

The 113th Membership Meeting of the Association of Research Libraries (ARL) was held in conjunction with the Fall Meeting of the Standing Conference of National and University Libraries (SCONUL) at the University of York, England, September 19-22, 1988. This was the first joint meeting for these two organizations and the number of institutions represented reflected the substantial level of interest in the opportunity to meet and confer with colleagues facing similar challenges and obligations but in very different local environments.

The rapid increase in the world's publishing production, the dilemma of rising serial prices, international exchange of bibliographic and other data, the challenge of expanding technology are all affecting the ways in which scholars and research libraries operate. All these factors illustrate the importance of international communication and the need for research libraries to work together across international boundaries in order to fulfill more effectively their commitments to scholarship and research. While SCONUL members have opportunities for more contact with their European colleagues, the York meeting marked the first opportunity for ARL directors to meet as a body with a key group of their international colleagues.

The theme of the meeting, *Collections: Their Development, Management, Preservation, and Sharing*, used the central role of research libraries as providers of information as a starting point. The program was divided into five sessions, each featuring papers from a SCONUL and an ARL director. The informative and thought-provoking presentations, highlighting perspectives from both sides of the Atlantic, sparked lively discussions, as delegates gained new appreciation and more thorough understanding of the challenges facing the member institutions of both groups. The sessions were followed by either general or small group discussions. The program sessions covered:

- Sharing Resources: Do We Have Valid Models? (Brian Burch, University of Leicester; David H. Stam, Syracuse University)
- In an Environment with Limited Funding, How Can Research Libraries Increase Their Effectiveness for Collection Development and Sharing? (Reg Carr, University of Leeds; Graham R. Hill, McMaster University)
- How Can Local and National Collection Development Policies be Linked with Each Other and Related to International Preservation Responsibilities? (James F. Govan, University of North Carolina; Michael Smethurst, British Library)
- How Can Collection Development and Management be Most Effectively Organized and Staffed? (Barry Bloomfield, British Library; Sheila Creth, University of Iowa)
- Is Stimulation of Cooperative Interinstitutional and Multi-national Planning of Collection Development Worth the Effort? (Fred Radcliffe, University of Cambridge; Martin D. Runkle, University of Chicago)

At the concluding session, Charles Miller of Florida State University, incoming President of ARL, and Michael Smethurst, incoming chair of SCONUL, provided summaries of the meeting. Both speakers noted that while ARL and SCONUL libraries operate in somewhat different circumstances, their goals of serving scholarship and research are the same. They agreed that much was gained from the interchange among British, Canadian, and U.S. library directors and that future cooperative ventures between SCONUL and ARL would be beneficial.

Two keynote addresses—by Jaroslav Pelikan, Sterling Professor of History from Yale University, and A. J. Forty, Principal and Vice Chancellor at the University of Stirling—set the stage for the meeting and introduced themes that would recur during the week: the relationships between the library and the university and between librarians and scholars. We are delighted to be able to include their papers in this volume. Unfortunately, the extemporaneous remarks of Lord Quinton, chairman of the British Library Board, made at the Official Dinner, were not available for publication.

Key roles in planning for the joint meeting were carried out by the 1988 ARL President, Elaine F. Sloan, and 1988 ARL Chairwoman, A. M. McAulay, as well as by ARL Executive Director Duane E. Webster and SCONUL Secretary Anthony J. Loveday. Ms. Sloan and Ms. McAulay were also the presiding officers at the meeting and served as moderators for the program sessions. The Program Committee, comprising representatives from both organizations with staff as liaisons, ably planned and organized the program for the meeting, despite the complications of being separated by the Atlantic Ocean. Members of the committee were Millicent D. Abell, Yale University; Fred J. Friend, University College, London; Thomas W. Graham, University of York (England); A. M. McAulay, University of Durham; Martin D. Runkle, University of Chicago; David C. Weber, Stanford University.

Finally, I would like to thank Celeste Feather, ARL Research Assistant, for her help in the preparation of this volume.

Nicola Daval
ARL Program Officer
July 1989

ASSOCIATION OF RESEARCH LIBRARIES

**STANDING CONFERENCE OF NATIONAL
AND UNIVERSITY LIBRARIES**

Joint Meeting at the University of York

York, England

September 19-22, 1988

Presiding Officers

A. M. McAulay, *Chairman, SCONUL*

Elaine F. Sloan, *President, ARL*

Program Committee

for SCONUL: Fred J. Friend
University College, London

Thomas W. Graham
University of York

A. M. McAulay
University of Durham

Anthony J. Loveday
SCONUL Staff Liaison

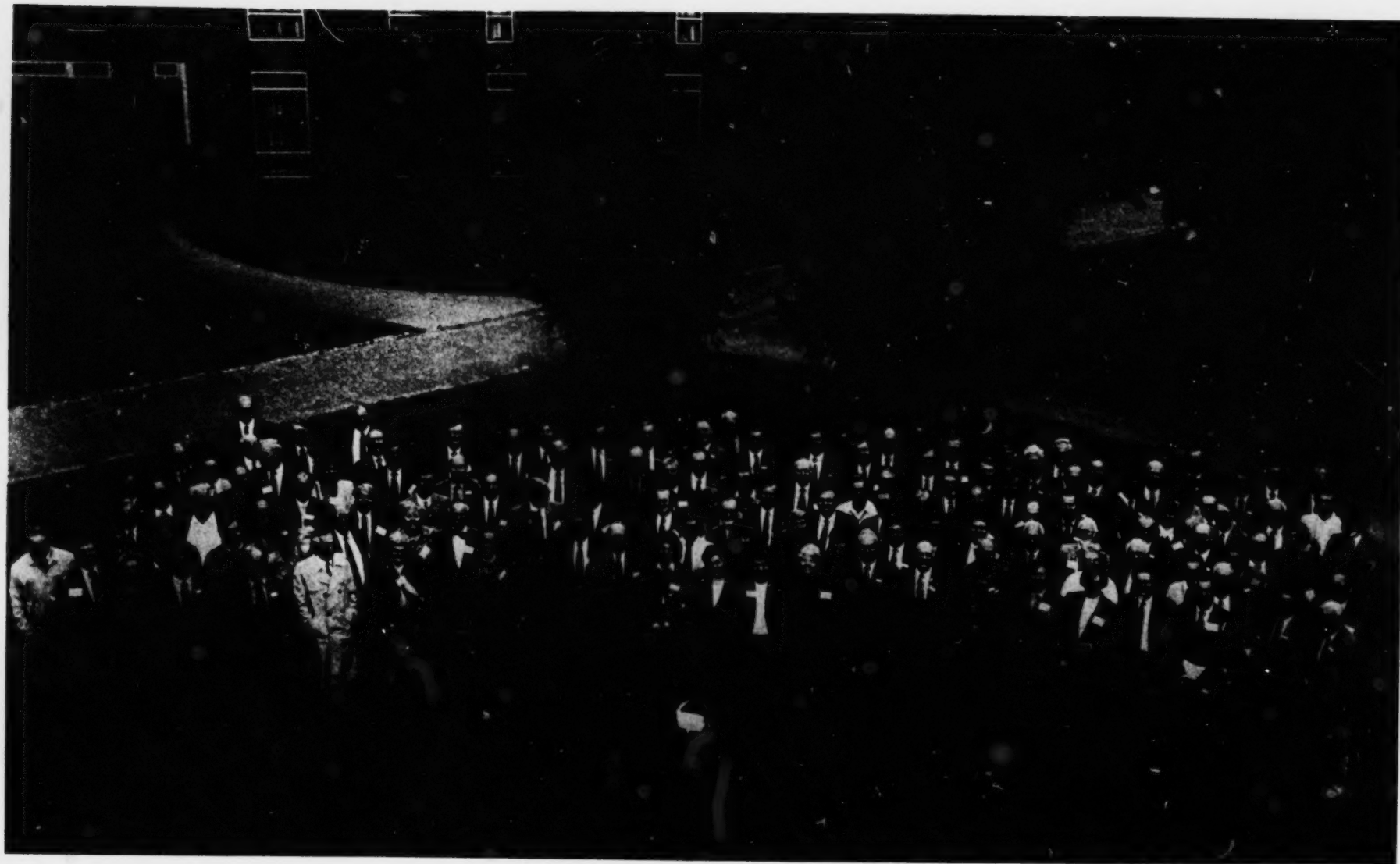
for ARL: Millicent D. Abell
Yale University

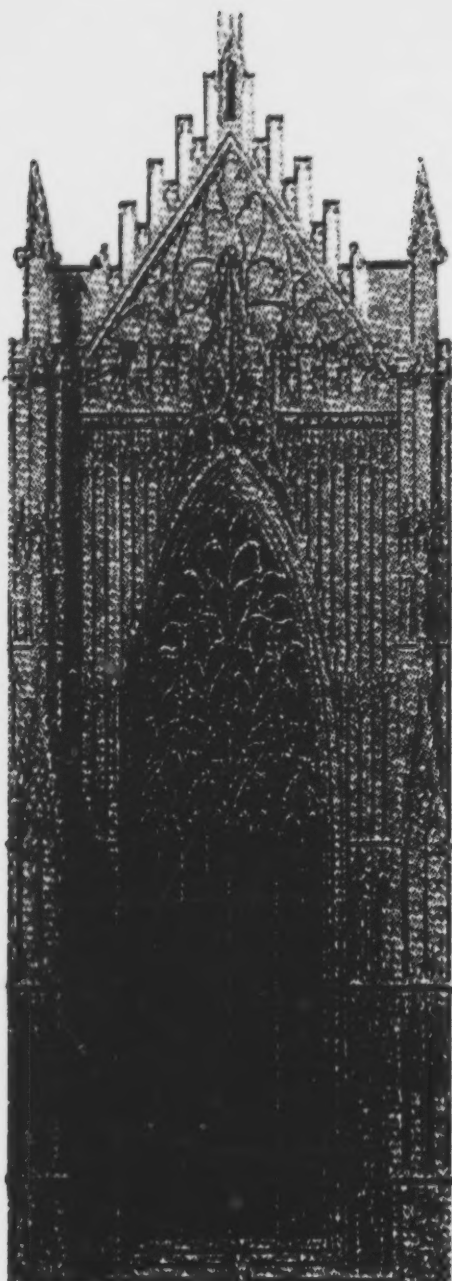
Martin D. Runkle
University of Chicago

David C. Weber
Stanford University

Nicola Daval
ARL Staff Liaison

next page: Participants at the ARL/SCONUL Joint Meeting





keynote addresses

RESEARCH LIBRARIES
in the university setting

Speakers:

A. J. Forty
University of Stirling

Jaroslav Pelikan
Yale University

RESEARCH LIBRARIES—A NATIONAL STRATEGY?

A. J. FORTY

Principal and Vice Chancellor
University of Stirling

Introduction

The common problems facing all libraries are: reducing budgets, in real value terms; escalating costs of books and periodicals; and increasing staff costs. The latest available data show that the overall expenditure on libraries in the British universities is now only 5% of the total general recurrent grant of £1.8 billion and of this, only 35% is spent on the acquisition of new materials. The other 65% is largely salary costs, which are difficult to restrain despite recent staff reductions arising from restructuring and rationalization. The squeeze on acquisitions is even greater than the financial data suggest because the general recurrent funding of universities is increasing at a rate considerably less than general inflation, while the cost of materials and equipment is rising at almost double the rate. The price of books, and particularly periodicals, is increasing even faster. The combination of reducing budgets and rising costs, coupled with the proliferation of periodicals and increasing demand for a wider range of research materials, has brought the provision of library facilities to crisis point.

The situation for the national libraries is no better. The total expenditure is about the same as that for the university libraries but, in the case of the national libraries, includes accommodation and equipment as well as staffing and materials. As copyright deposit libraries they do not have the same problems of acquisitions, but this is negated by increased staffing costs. They face heavy demands for foreign materials which they are expected to meet in their capacity as a comprehensive national resource. Generally, the situation for the national libraries echoes that of university research libraries.

The overall effect is that the development and conservation of important collections of research materials are now at risk. The problems are particularly acute in the humanities and social sciences, but are also very considerable in the science and technology area, where the high costs and proliferation of journals is a major cost factor. The inadequacy of university library collections is already leading to an increase of interlibrary lending with a heavy dependence on the British Library. This is leading to frustration for researchers and scholars who frequently need to gain direct access to rare volumes. Travel costs inhibit visits to other libraries. One worrying consequence of the restriction on central library collections is the increasing tendency to purchase books and journals for departmental, and often individual, use—essentially a squandering of scarce resources.

There are other factors that threaten to further destabilize library provision. The restructuring of universities, involving the closure or transfer of departments, necessitates changes in purchasing policy and creates acquisition and disposal problems. These problems are

being exacerbated by national subject reviews commissioned by the University Grants Committee (UGC). The councils, often without special funding to meet library needs, places further strain on already scarce resources.

Solutions

The divergence of costs and income is now so great that a straightforward financial solution to the problems of library provision is no longer possible. The difficulties can be eased in the short term by insisting on a more adequate provision in research grants and contracts for essential library materials. It should also be possible for university libraries to increase their income by selling services to industry and other information users. The British Library has already been very successful in this, generating more than a quarter of its annual income in this way. This is achieved through the British Library Science Reference and Information Service (SRIS) and the Document Supply Centre. The market is limited but university libraries should be able to service local needs. However, notwithstanding such short term attempts to improve the financial position, a more radical solution is needed in the longer term.

Inevitably, there will have to be a move towards collaboration between libraries and the sharing of resources. The interuniversity loan scheme is being used successfully but depends critically on the holdings of the British Library as a collection of last resort, and more and more frequently the only resort. The British Library and the other national libraries and major university research libraries will need to collaborate more effectively to ensure a fully comprehensive national stock of research materials. This places greater emphasis on the development of information sharing systems. The Consortium of University Research Libraries (CURL) group are in the process of creating a common database and index. This should be reinforced by similar collaborations, probably on a regional basis such as that being developed in Scotland. The availability of machine-readable databases and JANET, the Joint Academic Computer Network, means that there should be a wide access to catalogs and bibliographic data held by all libraries. This should allow resource sharing so that there will be less need for all libraries to attempt to meet the needs of all their local users.

A National Strategy

If the move towards resource sharing as a way of solving the national problem of libraries is to be successful, there needs to be a national strategy for the provision of library materials and access to catalogs and those materials by remote users. This would mean the establishment of national and regional centers of provision. Individual university libraries would use JANET or its future equivalent—Super JANET—to access regional databases. It should be possible in a few years time to use facsimile transmission technology to obtain high quality copies of documents quickly and relatively cheaply, and it will not be necessary, therefore, for local libraries to purchase the wide range of periodicals required by their users at the present. A greater centralization of research collections at national and regional centers would also mean that scholars would more frequently travel to those centers for their research needs. They would be compensated for this by the availability of a bigger, and richer, collection of materials. National libraries would become the National Laboratories for the Humanities in much the way that costly scientific laboratory facilities are provided by research councils.

Any appropriate national solution, therefore, would be to make a large information resource available to a large number of users distributed geographically. Such a strategy would require central funding. It would require a close collaboration with the Computer Board to ensure the installation of the appropriate communications infrastructure. The National Academic Information Service could also meet much of the information demand from industry and could eventually be part of an international network. To be successful it would require universities to forgo their autonomous control over their local libraries other than the basic provision of teaching materials. Unless they do, the provision of research libraries will surely continue to worsen and the research capabilities of most of our universities will collapse.

THE RESEARCH LIBRARIAN AND THE RESEARCH SCHOLAR: TOWARD A NEW COLLEGIALITY

JAROSLAV PELIKAN

Sterling Professor of History
Yale University

For a scholar whose personal and spiritual roots lie deep in Slavic Europe and whose research and intellectual life are no less deeply rooted in the methodology of German *Wissenschaft*, it is always a bit daunting to appear before a British university audience. For to tell the truth, my ties to these islands are not nearly so strong as they are to that "odd couple" of the Slavic and the Germanic: as I was growing up, I read Goethe and Tolstoy far more than Dickens or even Shakespeare; and since boyhood my role model as a scholar has always been not Benjamin Jowett but Adolf von Harnack (who, in addition to being almost certainly the most important historian of Christian thought who ever lived, served for several years as the Director of the "Berliner Konigliche Bibliothek," thus combining our two professions).

Fortunately for my present assignment, the two major exceptions to this isolation of mine from British thought have been Edward Gibbon and John Henry Newman, both of whom were, as am I, the grateful offspring of research libraries. Gibbon (on whom I published a book earlier this year) wasted much of his youth, as did I, on desultory reading of scholarly tomes dealing with a random assortment of recondite subjects, with the result that, as he says in his autobiography, he "arrived at Oxford with a stock of erudition that might have puzzled a doctor and a degree of ignorance of which a schoolboy would have been ashamed."¹ He goes on to describe how, after his disastrous fourteen months at Oxford, a series of other research libraries provided him with the awesome learning that then shaped his great history. In that history, too, libraries play a significant part. Near the end of the work, with a sardonic turn of phrase that would identify this passage as Gibbon's even if it were anonymous, he observed in describing the fall of Constantinople in 1453, which is the Gotterdammerung of his *Decline and Fall*:

A philosopher . . . will . . . seriously deplore the loss of the Byzantine libraries, which were destroyed or scattered in the general confusion: one hundred and twenty thousand manuscripts are said to have disappeared; ten volumes might be purchased for a single ducat; and the same ignominious price, *too high perhaps for a shelf of theology*, included the whole works of Aristotle and Homer, the

¹ *The Autobiography of Edward Gibbon*, ed. Dero A. Saunders (New York: Meridian Books, 1961), p. 68.

noblest productions of the science and literature of ancient Greece.²

Near the beginning of the work, in the discussion of Gordianus, there is another passage about libraries that is also *echt* Gibbon:

Twenty-two acknowledged concubines, and a library of sixty-two thousand volumes, attested the variety of his inclinations; and from the productions which he left behind him, it appears that both the one and the other were designed for use rather than for ostentation.³

Newman, too, became what he was largely as a consequence of the time he had spent in the library. His *Apologia Pro Vita Sua*, which is in many ways patterned after Augustine's *Confessions*, which are in turn patterned after St. Paul's narrative of his conversion, is nevertheless the account of a transformation that came not from a voice in the garden that said "Tolle, lege! Take and read" nor from a voice on the road to Damascus that said "Saul, Saul, why persecutest thou me?" but from his scholarly research. During the Long Vacation of 1839, Newman tells us, he returned

. . . to the course of reading which I had for many years before chosen as especially my own. I have no reason to suppose that the thoughts of Rome came across my mind at all. About the middle of June I began to study and master the history of the Monophysites. I was absorbed in the doctrinal questions. This was from about June 13th to August 30th. It was during this course of reading that for the first time a doubt came upon me of the tenableness of Anglicanism. . . . My stronghold was Antiquity; now here, in the middle of the fifth century, I found, as it seemed to me, Christendom of the sixteenth and nineteenth centuries reflected. I saw my face in that mirror, and I was a Monophysite.⁴

It was as a scholar who had spent many years poring over Greek texts in the library that Newman came to his theological decisions—and to his educational decisions. And it was as such a scholar that he also disparaged "the mere multiplication and dissemination of volumes" in the library as an end in itself.⁵

Newman recognized, with a clarity that the secular academic mind continues to find disturbing, that learning and scholarship must have a moral dimension or they can become demonic. Long before the moral crisis of the German universities in the 1930s and 1940s—which impressed that insight, indelibly I hope, on the scholars of our own generation and

² Edward Gibbon, *The Decline and Fall of the Roman Empire*, ch. 68, ed. J. B. Bury. 7 vols. (London: Methuen, 1896-1900), 7:197-98; italics added.

³ Gibbon, *Decline and Fall*, ch. 7 (Bury ed., 1:176).

⁴ John Henry Newman, *Apologia Pro Vita Sua*, ed. Martin J. Svaglic (Oxford: Oxford University Press, 1967), p. 108.

⁵ John Henry Newman, *The Idea of a University Defined and Illustrated*, ed. I. T. Ker (Oxford: At the Clarendon Press, 1976), p. 127: Discourse VI, "Knowledge Viewed in Relation to Learning."

of those that follow us⁶—he saw that the academic community is as liable to corruption as is the state or the marketplace or even the church. Having spoken elsewhere about the aesthetic dimension of scholarship,⁷ therefore, I want to use this distinguished forum for a consideration of its moral dimension. For at the center of the scholar's ethical system stands that unique blend of intense competition and mutual support which we understand to be the meaning of the concept of collegiality. And nowhere in the contemporary world of scholarship is a deepening and a renewal of the concept of collegiality more of a categorical moral imperative than in the sometimes stormy, but more often murky, relation between the research scholar and the research librarian, whether inside or outside the walls of the university.

I.

Let me begin with the most obvious expression of that collegiality, which upon closer examination proves to be not so obvious at all: collegiality in teaching. Once we go beyond the obligation of the professor to prepare undergraduate reading lists that are checked for accuracy and are delivered on time, and the corresponding obligation of the librarian to subordinate the efficient operation of the shop to the educational purpose of the shop—and this is the month, here in the United Kingdom and in the United States, when both of these obligations are becoming vital, and are sometimes being strained—the nature of the collegial sharing in undergraduate teaching calls for serious attention. If it were the function of undergraduate teaching merely to communicate the so-called assured results of scholarship, it would be the correlative function of the library merely to see to it that the books containing those assured results are available. But today's "assured results" are the raw materials for tomorrow's history of scholarship. Therefore it is rather the function of undergraduate teaching to induct the young into the mysterious and ongoing process by which that goes on happening; to put it in the words of my favorite passage from Newman, "In a higher world it is otherwise, but here below to live is to change, and to be [mature] is to have changed often."⁸ And in that case, the undergraduate librarian must be a research librarian, for it is the librarian's responsibility to build and maintain collections through which each successive generation will be inducted into that process. Not the What, but the How is the crucial consideration; and especially in fields that are changing fast, where the temptation is to present the results of my own research as the latest revelation, or even the final revelation, you are there to provide context and balance and correction—if we are willing, in a collegial spirit, to have you join us in the educational enterprise.

At the graduate level, that collegial spirit becomes all the more essential, especially today. Let me begin by making a confession here: I am, to an alarming extent, a bibliographical autodidact. I did not learn about standard manuals in my fields like Karl Schottenloher's *Bibliographie zur deutschen Geschichte im Zeitalter der Glaubensspaltung 1517-85*

⁶ To cite two recent monographs that we have published at the Yale University Press: Alan D. Beyerchen, *Scientists Under Hitler: Politics and the Physics Community in the Third Reich* (New Haven, 1977); and Robert P. Erickson, *Theologians Under Hitler: Gerhard Kittel, Paul Althaus, and Emanuel Hirsch* (New Haven, 1985).

⁷ Jaroslav Pelikan, "The Aesthetics of Scholarly Research," Tulane University Sesquicentennial Address, 1984.

⁸ John Henry Newman, *An Essay on the Development of Christian Doctrine* (Garden City, N.Y.: Image Books, 1960), p. 63.

and, more recently, Johannes Quasten's *Patrology* from my professors in seminars or lectures or libraries, but more or less had to stumble upon these reference works myself. And in some cases, to my acute embarrassment, I have learned about such guides only decades after completing graduate study, at least partly because the methodological (and theological) presuppositions of my professors had excluded them from view. That is a risk we should not have to run with our graduate students; or, to put it more accurately if more brutally, that is a risk that our graduate students should not have to run with us! The prejudices of the graduate professor can be visited on the graduate student, unto the third and fourth generation. As the volume of scholarly helps increases exponentially, the need for professional guidance in the use of such helps increases with it; and that professional guidance can come only from subject bibliographers who are sensitive and thoroughly trained and whom we, as research scholars, recognize as our peers and colleagues in the raising up of future scholars. Graduate students trained that way, incidentally, will also be more likely, in their work as teachers of undergraduates, to recognize their colleagues in their future libraries as genuine peers. And thus, perhaps, the cycle can be broken.

II.

Consideration of graduate education has inevitably brought me to discuss the new collegiality in scholarly research as such. To make my point more concrete, let me examine one genre of scholarly research: the bibliographical essay, or as we call it in the vernacular, the *Forschungsbericht*. Although I have produced many conventional bibliographies, which are in fact your card catalogs made linear, we would all agree, I think, that whatever such lists may do to help the reader identify the scholarship on which a book or article or lecture has drawn, but that they do not do much to advance real research. By contrast, the bibliographical essay, if prepared with just the right blend of thoroughness and imagination, can serve at least two major purposes simultaneously. It is, at one level, a necessary prolegomenon to research, by means of which a scholar is enabled to locate new discoveries or insights in the context of the total state of the art. Thus the reader can, with a minimum of slippage, see where the new research has truly done something new, and can therefore assess its significance. Conversely, the new research may also have achieved its results through a dangerous oversimplification of problems that earlier scholars had recognized in their full complexity, and the well-written bibliographical essay can provide perspective also on that issue. At another level, however, the bibliographical essay is itself an important chapter in intellectual history, especially when it deals with some aspect of one of those seminal issues which systems of human thought and belief use over and over to identify themselves. By this means my own research points beyond itself to the continuing tradition of study and debate.

As anyone who has ever tried it will testify, however, preparing a bibliographical essay of that kind is not for the faint of heart. For unless one is committed to some party line, be it political or philosophical or theological or literary, such a *Forschungsbericht* has the moral obligation to report and summarize the historical development and current status of *Forschung* with the objectivity described (if not achieved) by Tacitus in the *Annals*: *sine ira et studio*. For a research scholar who has now come to some fairly definite conclusions about an issue, such objectivity may seem to be tantamount to a betrayal of the truth, and it is therefore often sacrificed to polemics. And that is where the collegiality between research scholar and research librarian becomes obligatory. For one thing, the scholar's impatience to get on with the research will often brush aside important monuments of scholarship that merit abiding attention,

and the research librarian is there to draw attention to those monuments. But the collegiality has a more profound mission. There is nothing so ecumenical as the library, as George Crabbe made clear in the original lines of *The Library*:

Calvin grows gentle in this silent coast,
Nor finds a single heretic to roast;
Here, their fierce rage subdued, and lost their pride,
The pope and Luther slumber side by side.⁹

That ecumenicism stands as a curb on the tendency to subordinate the history of all hitherto existing scholarship to the party line. It also introduces into the presentation a range of sensibilities and an awareness of nuance that are all too often lost in the shuffle. Only if the research scholar has some of the qualities of the bibliographer and if the research librarian is something of a philologist, can we begin to get, in one field after another, the quality of periodic *Forschungsbericht* we must have for scholarship to thrive. And that calls for what I am describing here as a new collegiality. Essentially, I suppose, the vocation of the research scholar can be said to consist of three interrelated stages: investigation, interpretation, and publication. At each of those stages, a collegial relation between the research scholar and the research librarian is becoming indispensable; and the creation of avenues of communication between the university and those research libraries that are not university-based is becoming unavoidable.

III.

Yet if the collegiality in the areas of teaching and of scholarship is to be more than a superficial bonhomie, it must reach beyond those areas into educational administration and policy. To a degree that does not always characterize the life of the university now, there is need for the research library—and the research librarian—to be a genuine and full partner of the administration in both short-range decisions and long-range planning.

Let me mention only one major example of that need: the opening up of new fields of teaching and research. It is perhaps easier to discuss this issue at the present time, because both in the United Kingdom and in the United States we happen to be in a position of retrenchment, or at best in a relatively steady state, without the rapid and dramatic change that characterized university life in our two countries a few decades ago. A consequence of that retrenchment is great hesitation among university leaders to innovate, despite the urgency of certain fields for the demands of the next century, whether intellectual or cultural, scientific or technological, political or economic. It was difficult enough to practice educational statesmanship in the days of wine and roses, when new programs, departments, and entire professional schools were opening up everywhere; it is infinitely more difficult now. All the more reason, therefore, to pay close attention to the process of collegial discussion and joint consultation that ought to precede the creation of a new program of study, even at the undergraduate level and *a fortiori* at the graduate level. The area studies phenomenon of a generation ago ought to have taught us a lesson, but I am not sure that it has. It is one thing to recognize the demand for more attention to the contemporary Near East, but it is quite

⁹ H. L. Mencken, *A New Dictionary of Quotations on Historical Principles* (New York: Alfred A. Knopf, 1942), p. 686.

another to take the full measure of that demand. There must not be merely courses on the political struggles of the past forty years since the creation of the State of Israel. There must also be courses in Hebrew, in Arabic (or the several forms of Arabic), and in Farsi; yet, to stay with the last of those languages, Farsi was being studied recently by only two students in the Foreign Service Institute of the U.S. State Department, both of whom, according to a report published earlier this month, "have since graduated, and as of now no one is enrolled in the language at the institute."¹⁰ Courses merely in these languages, moreover, will not be sufficient without study in their literature, religion, and culture. Yet how many television commentators could give even a dictionary-type explanation of the difference between Shiite and Sunni Muslims? And all of this calls for the acquisition of library resources on a massive scale, or it will be a snare and a delusion. Taking such a curricular step without the full and candid involvement of the librarian is the road to academic disaster (not to mention panic on all sides).

The converse, however, does not necessarily follow. For while a university must not undertake a field of study in its teaching and research for which it does not have logistic support in the library, it often may, and sometimes must, expand and deepen the holdings of the research library in a field where, at least for the moment, it is not doing significant research or teaching. As a denizen of the library stacks quite literally all over Christendom, I often amuse myself by trying to estimate the years of appointment and retirement of a distinguished scholar by checking when the library began to acquire heavily in that field and when it discontinued doing so. Yet all of us know or ought to know how short-sighted such a policy is. As independent research libraries prove, collection-building also in a research library at a university must be independent of the current configuration of scholars on that university's faculty. This is partly because of the capricious natures of the rare book market: we must have the flexibility to acquire such books when they become available, so that when the need for them arises we are ready. I shall not describe here, as I have elsewhere, the mixture of antiquarian and pirate that makes for an aggressive and successful acquisitions librarian in this field. But because I have so often been the beneficiary of precisely such librarians from centuries past—some of whose treasures, I occasionally feel, have been waiting all this time just for me—I am concerned, within the practicalities of the real world, with creating and sustaining the conditions for that to go on happening. For even the availability of funding is no guarantee that it will. There must also be research librarians with the scholarly intuition and the intellectual taste to choose from among existing opportunities. They should not be asked (or even, I suppose, permitted) to do all of this on their own. Such choices call for a collegial give-and-take between research librarian and research scholar, even if in fact neither of them is a specialist in this particular field. I know that this kind of collegiality can work because I have shared in it; I also know what can happen if this collegiality is ignored.

The very presence here this week, at an international level, of research librarians representing most of the distinguished collections in the English-speaking world indicates that no one library or group of libraries can afford any longer (if they ever could!) to go it alone with such collection building. Charity begins at home, we are told by both the Roman poet Terence and by the New Testament, and so, I am sure, does collegiality; but you, as research librarians, are in many important ways far ahead of us, as research scholars, in devising concrete systems for putting that collegiality into practice. To this day we do not have, at either the undergraduate or even the graduate level, an efficient and easy curricular counterpart to the

¹⁰ Robin Wright, "A Reporter at Large: Teheran Summer," *The New Yorker*, (5 September 1988), p. 71.

interlibrary loan, except on the basis of concordats between individual institutions. There is still an enormous amount of bureaucratic hassle to go through before a Ph.D. student can spend a semester as a guest at the university where the world's leading authority in the field of the student's dissertation is presently working. Bureaucratic hassle is, I am reliably informed, a phenomenon not entirely unknown even among research libraries, and we all have anecdotes aplenty about what happens when the interlibrary loan network breaks down. But even at its most effective, that network is lagging behind the level of quality service that is being made possible by technological change. I have sometimes proposed, only half-facetiously, that the presidents, respective vice-chancellors, of our leading universities, their chief academic officers, and their directors of libraries be brought together into a summit conference behind closed doors, to thrash out the allocation of responsibility for that large number of research areas which cannot be the business of every university but which ought to be the business of some university, and preferably of at least two. Otherwise, we shall wake up some cold morning to find that no one is collecting materials or doing research or teaching courses in ancient Egyptian mathematics or the dialects of Galicia. You, at any rate, cannot wait for such a summit conference, and this week's deliberations are evidence that research librarians do recognize the need to get on with collegial attention to collection, preservation, and distribution. I hope that research scholars, and their leaders, will take the hint.

For the problem behind many of these problems does continue to be, I fear, the need for courageous and imaginative educational leadership. Having had the great good fortune of spending my now almost forty-five years as a university citizen under an apostolic succession of leaders that began with Robert Maynard Hutchins, continued with Kingman Brewster (now on loan to this country), and is now being carried on by Benno Schmidt, I know from firsthand experience what can still be accomplished by such leaders. But I must register my anxiety that all too often nowadays positions of academic leadership are being taken by managers and technocrats who have no clear vision of the university's distinctive mission. And since I can afford to be candid, let me add that this anxiety of mine extends not only to university presidents and vice-chancellors and deans, but as well to university librarians. The proud and learned caste that is the professoriate is in danger of scorning its own leadership, as well as of excluding from its counsels those whose scholarly training best equips them for participation in the decisions that affect the future of scholarship. That arrogance not only imperials scholarship, it also threatens to redefine the role of the research librarian. What I am describing here as the need for a "new collegiality" is an earnest plea, while there is still time, for our two communities of scholars to close ranks and join forces.

IV.

If there is any cogency to this earnest plea, it carries certain programmatic implications that it would be cavalier of me to ignore. Let me, then, itemize a few of those implications, if only perforce in a sketchy way.

1. There cannot be a "new collegiality" unless we are prepared to face the question of *status*. When I spoke earlier of the professoriate as a "proud and learned caste," I was describing a system which, like all caste systems, is hopelessly outmoded today. In the great autonomous research libraries that I know best, in the United States and Europe, that problem does also exist, though not perhaps in as acute a form as it does within the

university hierarchy. Even there, moreover, our colleagues in the natural sciences have, in significant fashion, led the way in obliterating many of the distinctions of status between scientist and technician, and thus have shown a path to the rest of us in the humanities. Both substantively and (perhaps at least as important) symbolically, salary is a measure of status, in the academy no less than in the business world, and this too demands to be addressed before there is irreparable damage to scholarship and education. Nevertheless, status and collegiality involve considerations far more subtle than the level of compensation, and we cannot hope to implement the assignments to which I have been pointing here without putting our own house in order.

2. If there is to be a "new collegiality," we cannot go on with our present laissez-faire approach to the work of *recruitment*. Or, to put the issue more pointedly and more personally, if I, as a research scholar working in the twentieth century, expect my students, as research scholars who will be working chiefly in the twenty-first century, to do that work as genuine colleagues with the research librarians of the twenty-first century, I must take a more aggressive and responsible part in the process of identifying the young men and women who can be such colleagues in the library. As some of you have reason to know, I have striven to do my part, and I watch with pride as some of those whom I have helped to recruit for the library are finding their way into responsible positions. But much of that, I must concede, has been hit-or-miss, and some of it has even come by default because of the shortage of teaching positions a few years ago. Such an approach is simply not good enough for the future, if indeed it was even adequate. And I am sure that you and we, as colleagues, need to face this assignment together.
3. If we do recruit young candidates to become such research scholars and such research librarians, we thereby acquire a responsibility, but also an opportunity, to undertake far-reaching educational reforms in the area of *joint training*. I said earlier that we cannot afford in this next generation the sort of autodidacticism, either bibliographical or scholarly, that has shaped many of us in the present generations of research librarians and research scholars. As a Ph.D. student at the University of Chicago in 1944, I sat in on a course I shall always remember, entitled "The History of the Book," with the learned Pierce Butler; James Westfall Thompson of that university made the history of the medieval library a fundamental component of the intellectual and social development of the Middle Ages; and my friend and colleague Elizabeth Eisenstein is making a major contribution by her original research in this field. All of these contacts between the world of the research scholar and the world of the research librarian, however, are serendipitous, not structural; at the same time, they are an indication of what could be done if we recognized the imperative. To mention only one subject close to my own needs, it is probably true at most universities today that there is considerably greater

expertise in paleography available in the library staff than in the faculty.

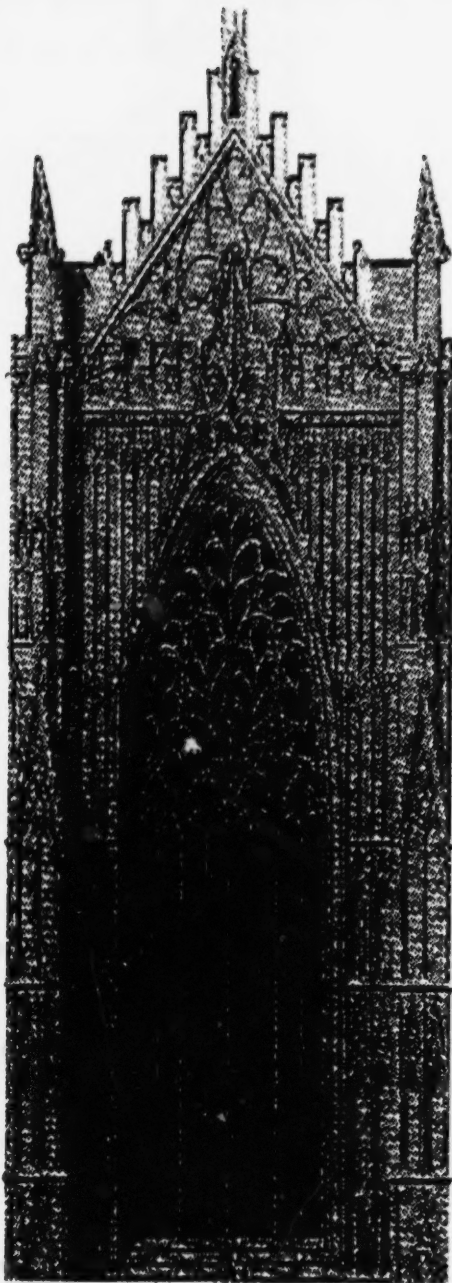
4. Having carried administrative responsibility at Yale from 1973 to 1978, I am quite aware both of the pros and of the cons in the question of *joint appointments*. All the knotty issues of line authority, of peer evaluation, of budgetary allocation, and equity and morale within the library system stand as a caution against embarking on a policy that could easily make things rather than better. Nevertheless I have been struck by certain contrasts within the university. Why is it that we seem to have had at least somewhat less difficulty with such questions in the handling of joint appointments to the university faculty for the curators of galleries and museums than for librarians? Perhaps because it is a relative newcomer to the university curriculum, Art History has shown itself to be far more flexible and resourceful in devising such appointments than has English or History; but on the other hand, so has Paleontology. At least part of the solution, I suspect, lies in the very process I mentioned earlier, the gradual blurring of the lines of status within and between our several scholarly communities.

Speaking, then, as colleague to colleague, I want to thank you for inviting me to help sound the keynote for your important debates of this week, and to express my hope and prayer that the scholarly legacy that we have received as research librarians and research scholars may find us to be heirs and stewards who are worthy. For, in the words of Goethe that have also become the melody of my life,

Was du ererbt von deinen Vatern hast,
Erwirb es, um es zu besitzen.

What you have as heritage,
Take now as task,¹¹
For thus you will make it your own.

¹¹ Johann Wolfgang von Goethe, *Faust*, 682-83; cf. Jaroslav Pelikan, *The Vindication of Tradition* (New Haven: Yale University Press, 1984), p. 82.



Session I

SHARING RESOURCES:
DO WE HAVE VALID MODELS?

Speakers:

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In a book published in 1981, Philip Sewell attempted to draw a distinction between "cooperation" and "resource sharing." Yet the very subtitle of his book¹ is *Co-operation and Co-ordination in Library and Information Services*, and the British Library's cataloging-in-publication (CIP) subject heading is "Library co-operation—Great Britain" (the geographical subdivision is misleading, but that is another story). The fact is that in the United Kingdom, most librarians would find it hard to draw a distinction between cooperation and resource sharing, and many of us (the present writer included) struggle to maintain a clear idea of the distinction between cooperation and coordination. Sewell's own analysis is that

Resource sharing may appear to be nothing more than a new term for the familiar concept of library co-operation. True, many of the same activities are included, but there is a significant difference in the approach. The earlier term takes the existence of libraries for granted and describes how they can achieve their objectives better by working together. The new term appears rather to assume a range of physical, intellectual and conceptual resources on the one hand and a body of people with library and information needs on the other, and covers the activities involved in organizing the one into a set of optimum relationships to meet the needs of the other.

If this distinction is valid, it is perhaps not surprising that British librarians are more likely to refer to "cooperation" than to "resource sharing", for in the long history of British libraries there is ample evidence of cooperation by "working together" to improve, extend, or defend services to library users, but very little of the central planning of "optimum relationships" that Sewell believes to be characteristic of resource sharing. Moreover, when national schemes have been devised or planned, they have often been ultimately unsuccessful, for a variety of reasons, good and bad. It is interesting to note that in the United States, where it is apparently easier to find evidence of properly planned resource sharing, the success rate has frequently been little better. Joel Rutstein, in a recent short survey of the American scene², describes the problems that have plagued both national schemes (such as the Farmington Plan), and local initiatives (such as his own Colorado Alliance for Research Libraries).

What then is the recent history and present state of library cooperation in the United Kingdom, and how far does it approximate to the sharing of resources? One of the commonest

¹ Philip H. Sewell, *Resource Sharing: Co-operation and Co-ordination in Library and Information Services* (London: Deutsch, 1981).

² Joel S. Rutstein, "National and Local Resource Sharing: Issues in Cooperative Collection Development," *Collection Management* 7, no. 2 (Summer 1985):1-16.

examples that is given when cooperation is discussed is the contribution that libraries of all kinds have made to the development of what is perhaps still one of the most effective and comprehensive interlibrary loan networks in the developed world. As early as 1916 the needs of students working outside the full-time institutions of higher education were recognized by the creation of a Central Library for Students. In 1925, largely on the initiative of the Association of University Teachers, a formal organization for supervision of interlibrary lending among university libraries was set up, and in 1931 the two organizations merged into the National Central Library (NCL). Later the NCL was to merge with the National Lending Library for Science and Technology (created after World War II at the instigation of the scientific community) into what is today the British Library Document Supply Centre (BLDSC). This achievement in itself is a matter in which British librarians can take some pride. University libraries have participated in many other cooperative arrangements; the Report of the University Grants Committee's Committee on Libraries—the Parry Report³—published in 1967, devotes a whole chapter to describing these achievements, and there is an equally impressive list in the latest edition of James Thompson and Reg Carr's book on university libraries⁴.

The context in which most of these achievements have to be judged, however, is one in which, as Sewell puts it, the existence of libraries is taken for granted. Most of them represent "add-on" services; nowhere does it seem that the fundamental notion of the sovereign, autonomous individual library has been seriously challenged. This notion is one which is deeply rooted in British university libraries; the Parry Report, for example, remarked that

... the prime obligation of a university library is to the members of the institution of which it forms a part. It has to satisfy the needs of the undergraduate and must also meet the requirements of the graduate student who is embarking on research, and the much more complex and exacting demands of the mature scholar.

In this British university libraries could be contrasted with those in other parts of the world; two years after the Parry Report, the Dainton Report⁵ acknowledged that

The libraries of universities in Britain, unlike those in some Continental countries which serve a wide public, have as their predominant function at the present time the servicing of the teaching and research activities of their institution. Their organisation, subject coverage, acquisitions policy and services tend to reflect these responsibilities almost exclusively.

Thompson and Carr, writing in 1987, regarded as "incontestable" the statement made to the Parry Committee by the Association of University Teachers that "the prime function of a university library is to provide facilities for study and research for the members of its own institution." The point to be drawn from these quotations is that the tradition in most British

³ University Grants Committee, *Report of the Committee on Libraries* (London: HMSO, 1967).

⁴ James Thompson and Reg Carr, *An Introduction to University Library Administration*. 4th ed. (London: Bingley, 1987).

⁵ National Libraries Committee, *Report*. Cmd. 4028. (London: HMSO, 1969).

university libraries has been to aim at self-sufficiency in meeting the needs of their own local university community, and although a variety of internal and external pressures are now forcing many university librarians to rethink their priorities, the tradition of local collection-building is one that is still strong, not only among librarians, but even more so among the academic community they serve. Not surprisingly, resource sharing—as opposed to cooperation—could make little headway until the mismatch between actual resources and the requirements for self-sufficiency became so blatant that it could not be ignored.

Any review of the present state of cooperative endeavour among British academic libraries has to be set against this background. Having said that, the range and scope of past and present cooperative activity is impressive, for, however much academic librarians have striven to be self-sufficient, the growth of literature and information has always outstripped their resources. Their contribution to the development of interlending facilities has already been mentioned, and the accessibility of scholarly material not available locally has improved immeasurably with the creation of a national lending library. The situation was radically altered for the better when, in 1972, a group of hitherto autonomous units were brought together as the British Library under a single management, following the recommendations of both the Parry and the Dainton Reports. Despite growing problems of resourcing, the British Library's Document Supply Centre remains a highly successful endeavour that is of particular value and relevance for academic libraries. The network of "back-up" libraries formally linked to BLDSC further extends the wealth of material available. Today, there is in addition an infrastructure of Regional Library Systems that, particularly for public libraries, provide a first-resort service for categories of material not held at Boston Spa. Their long and varied history has been clearly documented in a recent survey edited by Colin Jones⁶—a survey that also reprints two articles originally published by the British Library^{7 8} that review the progress of interlending in England and Wales since 1900. Most of the Regional Library Systems (of which there are seven in England, covering the whole country; the Wales Regional Library System, based on the National Library of Wales, the National Library of Scotland, and the Library Council of Ireland, perform roughly similar functions in their respective countries) began as combinations of public libraries, funded by voluntary contributions from their members to create and maintain union catalogs of their members' holdings, and to provide locations for interlibrary borrowing within the region. Today, most regions have academic and special libraries in membership; their original functions are continued, more or less, but the publication of part or all of the union catalog on COM fiche (or in one case its availability online) has largely reduced the role of the regional headquarters as "middleman" in the process of interlending, a process itself greatly affected by the later development of BLDSC. Nevertheless, the Regional Library Systems remain a valuable focus for local collaboration; they have increasingly acted as agencies for a variety of cooperative endeavors such as, for example, the management of Transport Schemes, the production of bibliographies and specialized finding lists, and the joint development of services to special client groups such as ethnic minorities and the handicapped.

⁶ *Interlending and Library Co-operation in the United Kingdom and the Republic of Ireland*, ed. Colin Jones (Leicester: Circle of Officers of National and Regional Library Systems, 1986).

⁷ Norman Roberts, "Interlibrary lending in England and Wales 1900-45," *Interlending and Document Supply* 12, no.3 (1984); reprinted as Appendix A in Colin Jones's survey.

⁸ George Jefferson, "Interlibrary Lending in England and Wales from 1945," *Interlending and Document Supply* 12, no.4 (1984); reprinted as Appendix B in Colin Jones's survey.

Despite the acknowledged primacy of local needs among their objectives, few, if any, university librarians have managed to maintain collection building at a level enabling them to meet those needs fully from their own libraries. It was the recognition of the necessity of enlarging the pool of resources upon which their users could draw that led university librarians to become so closely involved in the developments in interlibrary lending described earlier. Over the years, however, there have been numerous attempts to argue the case for a much wider national library and information policy that would bring libraries of all sorts into a closer and more formal relationship and would tackle the questions of access, local and national interlending, collection building, and other aspects of genuine resource sharing. Although it is instructive to consider some of these initiatives, the overriding conclusion that is likely to be drawn from them is that none has yet come close to lasting and real achievements. At the same time local, sectoral, or informal schemes of cooperation of all kinds have achieved, and promise to go on achieving, much more concrete results. It must then be finally considered whether present circumstances will lead to nationally planned resource sharing that will, after all, begin to match these successes that have so far come about largely without governmental support.

A glance through the recommendations of the Parry Report reveals that the committee recognized that self-sufficiency was neither possible nor desirable:

The entire resources of a geographical area should be regarded as one pool from which each individual library could draw. Co-ordination of the resources of libraries would facilitate the extension of coverage and the reduction of expenditure. University libraries within an area should avoid unnecessary duplication of effort and should investigate the advantages of all forms of co-operation.

While it could well be argued that this recommendation is somewhat at odds with the committee's earlier endorsement of the notion of primary obligation to members of the institution, it is clear that even in 1967 the resource implications of continued growth, and the potential for resource sharing, were matters of concern. It is significant that the Parry recommendation emphasizes both the "extension of coverage" and the "reduction of expenditure." Cynics could argue that the two aims are incompatible, and certainly the history of library cooperation suggests that such activity undertaken for purely economic reasons is unlikely to succeed. In the public library sector, there is no British experience of resources being pooled except as the enforced result of local government reorganization, something which successive British governments have found it difficult to resist. But the public libraries have a long and not entirely glorious history of involvement with subject specialization schemes, which began in the 1930s and reached an advanced stage of development in the years after World War II. A Ministry of Education Working Party, chaired by E. B.H. Baker, produced a report⁹ in 1961 on interlibrary cooperation in England and Wales, which recommended that

The present inter-regional scheme of subject specialization in British books, which is designed to ensure that at least one copy of all worth-while material is purchased and made available for inter-lending by at least one library, should be maintained and improved.

⁹ *Inter-library Co-operation in England and Wales: Report of the Working Party Appointed by the Minister of Education in March 1961* (London: HMSO, 1962).

The scheme achieved a very mixed level of fulfillment in the various regions, and although the Dainton Report remarked that since the reorganization of the arrangements in 1959, some 95-99% of British publications had been acquired somewhere by this means, the mood of the 1970s, particularly with the development of the British Library's lending division, was for such responsibilities to be handled nationally, and the interregional scheme was formally wound up on 31 December 1973. A scheme for cooperative purchase amongst university libraries also achieved only modest success. In 1952 a plan was launched for the cooperative acquisition of pre-1800 British books deemed to be "background material" (i.e., of secondary interest); originally limited to works published between 1600 and 1800, the scheme was extended to include 1550-1599 in 1955 and later it was suggested that nineteenth century works be included. As Thompson and Carr remark, however, the program proved to be "a very small scale affair" with only about 500 books a year being purchased in total at its peak. Today the scheme is moribund, if not entirely dead. More successful—but necessarily limited in scope—have been a small number of schemes to improve the acquisition and coverage of foreign materials from particular geographical areas. Most of these arrangements have evolved under the aegis of SCONUL and its specialist committees, but taken together they represent only marginal progress towards what the Parry Committee called "a national acquisitions plan."

The idea that libraries in physical proximity should cooperate is one which has frequently been aired, and British university libraries have had much to do with local schemes of various kinds. Some of them are described in Thompson and Carr's book. In none of the examples they quote, however, is there much evidence of resource sharing in the true sense; each library participating in such schemes retains more or less complete autonomy in the key areas of collection development, services to readers, and other basic strategies. Where cooperation has succeeded—and this is not without real value—is in areas such as joint training programs, coordination of some specialized information services, and, perhaps most relevant in relation to resource sharing, in a varied level of reciprocal access arrangements. These have usually been for academic and research staff; undergraduates have not normally been included in reciprocal arrangements between academic libraries except during vacations, when they have enjoyed (and still do) reference facilities in their home university or polytechnic. Apart from the possibilities suggested by the concentration of libraries in relatively small geographical areas, the similarities between the libraries of universities and polytechnics have also aroused interest. Traditionally, British universities have always defined their role as significantly different from that of the polytechnics by reference to the much greater concentration in universities on higher degree work and on pure research, and this has been used to justify the much greater level of resource that university libraries, in common with most other facilities, have enjoyed. A neutral observer might feel that this distinction has always been more apparent than real, and certainly today, with talk of "teaching-only" universities (or at least "teaching-only" subjects within universities) and the imminent separation of polytechnics from local authority control future differences between the two sectors may be increasingly hard to discern. The British government has already given evidence of its belief that a closer look at the relationships between the two sectors of higher education should be undertaken, in the infamous Green Paper on Higher Education in the 1990s¹⁰, which contained the following:

Collaboration between institutions, across sectors as well as within them, has potential benefits in both quality and economy . . . The Government looks to

¹⁰ *The Development of Higher Education into the 1990s* Cmnd. 9524. (London, HMSO, 1985).

the advisory bodies (the University Grants Committee, the National Advisory Body for Public Sector Higher Education, etc.) actively to promote, and to use the influence of their funding allocations to secure collaboration in library access and purchasing, in the use of equipment and laboratories and in joint teaching arrangements.

The 1985 Green Paper received a very hostile reception, and most of its opponents now regard it as a dead letter. While the Government has indeed backtracked on many of the proposals, there are no grounds for assuming that the belief, however erroneous, that resources could be saved by enforced collaboration, has completely departed from Whitehall. Some Vice-Chancellors at least share the view, and in 1986 the late Vice-Chancellor of Loughborough University returned from a trip to the United States highly impressed by what he had seen of interinstitutional library collaboration there. As a result largely of his initiative, the British Library is currently funding a research project (COPEMAL, being undertaken at Loughborough) to investigate the possibility and cost/benefits of closer cooperation between the Universities of Loughborough, Leicester, and Nottingham, and Leicester and Trent (Nottingham) Polytechnics. While it is fair to say that resource sharing as such is not one of the matters under investigation, the COPEMAL report (due in the autumn of 1988) will inevitably raise the question, simply because it will reveal the limitations of cooperation between five autonomous institutions whose academic programs are very largely uncoordinated, and whose libraries feel bound to give more or less absolute priority to their own users before considering what resources can be spared for the possible requirements of the other user groups.

There is one other area that deserves mention as an example of successful cooperation between libraries of all kinds, and that is the growth of cooperative automation networks. The history of these has been fully documented elsewhere, but what such enterprises as SWALCAP and BLCMP reveal is the limitations of such developments in the eyes of their users. Theoretically, a large cooperative network with a substantial shared database might provide the conditions in which some moves towards resource sharing could be initiated, both locally and between libraries of similar type. In fact, it is almost certainly true to say that so far, the cooperatives have not led to anything more than the spread of comprehensive and sophisticated online library housekeeping systems, linked to a shared database for cataloging. This is by no means to decry their achievement, but rather to remark once again that the spread of interlibrary cooperation in the United Kingdom is very extensive, yet most of it appears to fail to meet the conditions for resource sharing according to Philip Sewell's definition.

As well as local schemes such as some of those already described, and specialized cooperatives such as the automation networks, there have been in recent years a few attempts to introduce or improve major cooperative activity that, while not in itself intended to achieve resource sharing, would nevertheless provide a context in which the subject could more easily be debated. In 1982 a Working Party set up by the British Library produced a report on union catalogs¹¹ that contained a useful review of the complicated mix of such catalogs that existed at that time, and of their relevance to interlibrary lending. The latter was of course the primary focus of the Working Party's investigation, and their recommendations largely centered on the need to coordinate and improve union catalog provision, utilizing new technology where appropriate. Among the report's principal recommendations were several that identified the

¹¹ *Report of the British Library Ad Hoc Working Party on Union Catalogues*, (London: British Library Board, 1982).

creation in, or conversion to, machine-readable form of catalogs at the British Library's Lending Division (now the Document Supply Centre). While not all the recommendations have yet been met, important progress in this area has been made as a result. As if to emphasize the fact that the union catalog review was regarded as strictly an exercise in interlibrary loan practice, however, the Cooperative Automation Group (CAP) was developing, at the same time, its own proposals for a UK Library Database System (UKLDS), which were published in July 1982, three months after the union catalog report¹². The group, which was formed in 1980 "with the aim of ensuring the most effective articulation of the services provided by the British Library and the library automation cooperatives in the interest of the library community at large," consists of representatives from the British Library, the automation cooperatives, and many professional bodies such as SCONUL, the Library Association, and Aslib. The proposed UKLDS was to have two principal objectives:

1. to obtain and provide access to an acceptable bibliographic record for items cataloged by a participating library; and
2. to obtain and provide access to information on UK library holdings, particularly those of libraries or library organizations that participate in the national interlending system, or whose collections constitute an important reference source.

Beginning with records derived from the automation cooperatives and the British Library, it was hoped that other libraries would also be encouraged to contribute records, all of which were to be held in UK MARC format. By 1984, it was hoped to have over four million records in the system, with an annual growth rate thereafter of 400,000 records. The records were to be accessible in a new online database to be created and managed by the British Library's Bibliographic Services Division. The group envisaged two principal uses for the system: the obtaining of a bibliographic record for cataloging or acquisitions purposes in automated systems, and for the identification of locations for reference or interlending purposes. The latter aim clearly overlapped with the work that the British Library's Working Party had been doing on union catalogs, and CAG had in fact developed its proposals in full knowledge of the Working Party's deliberations. A crucial feature of the CAG proposals was that UKLDS should be "founded upon the principle of free exchange of bibliographic records within the library community." The costs of using the system was envisaged as being related only to the cost of operating the system, with no royalties being charged by any participant. The CAG proposals received a generally favorable reception, by SCONUL among many others, and, as Jennifer Rowley reported in an article in September 1983¹³, most of the criticisms began from a basic assumption that a national database was self-evidently a development to be encouraged, and addressed ways in which the CAG's original scheme could be widened or improved. In particular, several respondents argued strongly for subject access to the database, something which CAG had considered to be outside its remit.

¹² Cooperative Automation Group, *Proposals for a UK Library Database System* (London: CAG, 1982). The proposals were also published in full in several journals; see, for example, *Library Association Record*, 84, no. 9 (September 1982), under the title "Towards a National Database."

¹³ Jennifer Rowley, "National Database: Near Useless Monolith or Hope of the Future?" *Library Association Record* 85, no. 9 (September 1983).

The UKLDS proposals, had they been successful, would have achieved a major step forward in the integration of U.K. bibliographic records and in making available holdings information from a very wide cross section of libraries. As such it would have provided one of the basic tools for properly planned resource sharing. The sad fact is, however, that the proposals look, for the moment, to have been nothing more than a splendid idea: the chances of a national database coming into being seem remote. At the heart of the problem is finance: in particular the central role to be played by the British Library seems impossible in face of the inexorable pressure on the Library to recover full costs on all its operations. CAG remains in being and UKLDS may yet become a reality, but there are not a few who now regard this as wholly unlikely.

It is, to those who know something of the history of library cooperation in the United Kingdom, not altogether surprising that whereas the CAG initiative seems to have failed, a development that began as a local scheme with limited aims now seems to be on the threshold of creating a national database in all but name. One of the English Regional Library Systems, the London and South-Eastern Region (LASER) has, since 1975, been actively developing online systems to manage and distribute the bibliographic records held in its regional catalogs. In 1977, LASER installed a mini-based system that provided access to its 1.6 million records, and allowed members to download bibliographic data for internal use. Subsequently, LASER members asked that this system be enhanced by the provision of additional features, namely, to quote LASER's latest report¹⁴:

1. an electronic transmission service
2. a greater range of terminal and micros access
3. access and switching to the various telecommunications services becoming available from British Telecom.

These matters have been investigated in LASER's VISCOUNT project, just completed, for which the full report is not yet available. The VISCOUNT project began in 1985 and after much initial work to improve the hardware and telecommunications links at LASER headquarters, moved on, in 1987, to the loading into the system of location and bibliographic records from two other English regions (the North-West and the South-West), the National Library of Scotland, and the British Library Document Supply Centre. In all, the VISCOUNT database now holds over two million records and some twenty-five million locations. Its success may be measured by the interest being shown in the other English regions, most of whom have expressed an interest in joining. The importance of the project is not just in the sheer volume of records that are being brought together in a single database (or rather in a series of databases held together and searchable in a single sequenced operation); LASER has also developed the other features mentioned above, namely online access to the data and messaging facilities that allow those libraries enjoying online facilities (currently most LASER libraries and a limited number from the other regions involved) to seek for locations and then to generate electronic messages to the libraries from which they wish to borrow. The future development of the VISCOUNT project is dependent on resources, but at the time of writing the prospects

¹⁴ London and South Eastern Library Regional (LASER), *List of Members and Annual Report 1986-87* (London: LASER, 1987).

seem good for the inclusion of the other regional catalogs, for continued research and development on messaging, and for the extension of online access to all participating libraries.

VISCOUNT began as a research project, and still bears many of the characteristics of one. Much of the most useful data held in the regional catalogs is the so-called "Extra-MARC" or EMMA material, and outside the LASER region there has been little progress in adding this information. As the project loses research funding, and has to pay its own way, the costs to users must increase, but there is still much uncertainty about the long-term costs and benefits. Moreover, as LASER itself has acknowledged in a publicity leaflet for VISCOUNT, "networking libraries electronically for interlending cannot be done properly without reference to other activities for which libraries cooperate or communicate with each other." One line of development might in fact be to move away from the creation of a vast centralized database to the concentration on networking, so that libraries with online catalogs might contribute not their data but a gateway to their own files, and LASER is quite properly much concerned with networking standards and the development of Open Systems Interconnection (OSI). Like UKLDS, VISCOUNT was not conceived as, and is not in itself, an exercise in resource sharing; but its potential for changing the face of interlibrary cooperation in the United Kingdom is immense, and no discussion of resource sharing can overlook its existence. Indeed one of the matters to be resolved in the future is the governance of the VISCOUNT development, which increasingly looks far too significant to be left in the hands of the management committee of one Regional Library System.

In any review of past and present projects with some relevance to resource sharing, two recent developments might appear to be more directly inspired by the concept. Joel Rutstein, in his review of the American experience, remarks that

Even though the consequences and ramifications of cooperative collection development are still unsettled, collection development librarians are basically in agreement on one fundamental issue: in order to accomplish any success in a resource sharing environment, libraries must be familiar with one another's holdings. . . And once they are, the possibility exists for the drawing up of a collection policy statement, the working tool of cooperative collection development.

As far as learning about one another's holdings is concerned, some of the developments already described are changing the situation in the United Kingdom very quickly—VISCOUNT, for example, and the very large databases now held by the automation cooperatives. The development of the Joint Academic Network (JANET) and other progress in electronic mail and telecommunications, make it increasingly easy to gain online access to a wide variety of other libraries' catalogs from most university and many polytechnic campuses. The Consortium of University Research Libraries (CURL), an informal cooperative group consisting of the seven largest university libraries in the UK, is currently in the early stages of loading its members' catalogs on to the super-computer at the University of Manchester, and has recently obtained funds to employ staff to create a union index to what will be a bibliographic database of considerable significance. The original thinking behind the CURL plan seems to have been that research in each of the seven member institutions would be assisted by having direct access to their catalogs in consolidated online form. No doubt for those researchers with time and finance to travel the country, this will be true, but for most users (and the user group will in due course comprise all libraries with access to the JANET network), the CURL database will

surely be most immediately useful as an interlibrary loan tool. The motives for the project, and the expectations that the CURL libraries themselves have of the outcome, are, to the outsider, less than clear, but as far as can be judged, they do not relate to resource sharing as such, notwithstanding Thompson and Carr's observation that, if the CURL project is successful, "the benefits not only to the individual libraries but also to scholarship generally would be very great."

Rutstein's note of the need not only to learn of what is held in other libraries, but also to understand one's own and others' collection policies, goes on to discuss the reasons why such understanding is necessary. It is fair to say that in the United Kingdom, many academic librarians operate without a written acquisitions policy, and are skeptical of the need to devote much time and energy to the matter at a time when the shortage of resources, and the increasing difficulty of providing even the immediate requirements of their users, seems to remove the problem of collection building for any other purpose than the needs of the moment. On the other hand, it is clearly the case that should any regional or national policy for resource sharing be adopted, collection policy would be a fundamental issue: not just what particular materials are to be found in given library holdings, but also what are collecting strategies now and for the future. It was to facilitate just this requirement that the Research Libraries Group in the United States developed the methodology of the Conspectus. In Britain, the need to rationalize the collection policies of the various units making up the British Library created an appropriate circumstance for the adoption of the Conspectus, and subsequently the methodology has been used in a joint exercise by the major academic libraries in Scotland. The results of the Scottish project have yet to be evaluated; what is already clear is that the process is time-consuming and sometimes difficult, and despite SCONUL's genuine interest in the Conspectus approach, and its declared belief that academic libraries should be far more knowledgeable about their own and others' collection policies, many SCONUL libraries are showing some resistance to the adoption of the Conspectus.

Much of what has been said so far in this admittedly personal view of the British scene, may seem to imply that resource sharing is not a matter about which British librarians care very much. That is not necessarily a valid conclusion to draw. It is equally possible to decide that a large pool of goodwill, and a great deal of work on the methodology of cooperative action, already exists; what is lacking is a nationally-agreed set of objectives and the availability of resources. It has already been remarked that most British academic libraries see their primary role as that of serving their own communities; cooperation, although often entered into willingly enough, is subject always to the defense of the primary purpose. Where government encouragement to cooperate has been offered, it has all too often been founded on the simplistic view that cooperation equals economy, whereas experience shows that whatever the long-term benefits, initially cooperation actually needs additional resources. But above all else what is lacking is any kind of national plan or national coordinating body, and given the very separate histories of libraries in the United Kingdom, that seems to be essential. Such a statement may seem extreme, since national bodies do exist; but so far, at least, they have not succeeded, or come close to succeeding, in creating an environment in which resource sharing can occur.

The want of a truly national body to coordinate library policy in the United Kingdom is one that has been regularly remarked upon over many years. The Parry Report advocated "better provision for coordinating the work of major libraries of all kinds," two years later the sentiment was echoed in the Dainton Report:

Except in sharing a common aim to collect and make available information for which an existing or potential demand has been demonstrated, the many different library and information services do not at present form a well-ordered pattern of complementary and co-operating parts. .it is unfortunate that, with a few notable exceptions, there is little machinery for assisting the co-ordination of even national facilities in closely related subject areas, for avoiding wasteful duplication of effort, for ensuring adequate coverage of material and bibliographic services, and generally for making the best use of available resources of all kinds. .the lack of a national policy, relating the country's needs to other national requirements has prevented the nation's library services from developing in accordance with a coherent and comprehensively considered plan.¹⁵

Even this fairly damning indictment fell on deaf ears as far as government was concerned. The major achievement of the Dainton Committee, to set in motion the moves which led to the creation of the British Library, was accompanied by some peripheral improvements in library coordination, but essentially the situation was little changed by 1976, when SCONUL produced the first of a number of statements setting out the case for a national coordinating body. At that time, SCONUL identified some twenty-one bodies with responsibilities for, or major interest in, the coordination of parts of the national library scene, and looking at the list today it is easy to think of others that might have been included. In its public document¹⁶, SCONUL set out five main areas where there appeared to be a need for a national policy:

1. The formulation of official national library policy [there was (and is) no single authority that could formulate and express a truly national library view on behalf of the United Kingdom];
2. The co-ordination of library and information resources [there was still] no clearly defined plan for the acquisition and exploitation of materials by the libraries of this country; [although a network of libraries existed] there is at present no body which can map this network, define those responsibilities, consider and identify gaps in coverage, and, where necessary, recommend that finance be provided to fill these gaps;
3. The co-ordination of technical services;
4. The co-ordination of technical and bibliographic standards; and
5. The preservation of existing national library resources.

In 1980, and again in 1986, SCONUL drew attention to the fact that little or nothing had been achieved under most of the 1976 heads, especially in relation to the first two.

¹⁵ National Libraries Committee, *Report*. Cmnd 2048. (London: HMSO, 1969).

¹⁶ Standing Conference of National and University Libraries (SCONUL) *The Need for a National Co-ordinating Body on Library Policy* (London: SCONUL, 1976). Unpublished; SCONUL Doc 76/23.

One of the more intractable problems in the way of any moves toward the establishment of a national libraries authority in the United Kingdom is the fact that education and libraries are two of the areas which are separately administered in each of the four constituent parts of the kingdom—England, Scotland, Wales, and Northern Ireland (although the degree of separateness for Wales is less, and that of Northern Ireland more, than that of the other countries). This has been a major stumbling block to the work of the Library and Information Services Council (England)—LISC(E)—which has produced three important reports on the subject of library cooperation that might otherwise stand as the evidence that a national coordinating body does exist. The council (originally the Library Advisory Council (England)) was established in 1965 to advise the Minister on library matters. In 1979 it submitted the first of its reports¹⁷ on "the future development of libraries and information services," as the three reports are collectively titled (hence the common acronyms FD1, FD2, FD3). The first report concentrated on "the organisational and policy framework;" the second¹⁸ on "working together within a national framework," and the third¹⁹ on "progress through planning and partnership." The first report considered that "there has been ample evidence in recent years of a failure to achieve the degree of co-operation and co-ordination which is clearly desirable" in the library field; "important decisions have sometimes been taken unilaterally without adequate regard for the implications for other libraries and users." The report went on to suggest ways in which improvements in the machinery of government, and to the structure and responsibilities of the Council itself, could be made.

By the time of the second report, in 1981, the Council had been restructured, but it remained an English body; parallel Councils were established for the other countries in the Kingdom. The second report reviewed the situation in relation to information provision, and noted that

In the public sector and some parts of the private sector the financial resources available to information services to enable them to fulfil their respective roles are limited, and constraints have become increasingly severe since the early 1970s. The materials of communication, however, become ever more numerous and diverse, and those services which have continued to regard themselves as storehouses of knowledge, rather than gateways to the wealth of resources available, have had a choice of three possible strategies by which to pursue their objectives; (i) to spread their resources as satisfactorily as possible over the whole range of possible objectives; (ii) to be selective as to the needs which they will aim to satisfy; (iii) to develop more effective means of drawing upon the library and information resources of the country as a whole to supplement, or even replace, their own resources. The customary practice has been to seek some kind of balance between these options . . . This report argues that Strategy iii. hitherto regarded mainly as a safety-net, should have a major place in policy

¹⁷ *The Future Development of Libraries and Information Services: 1, Organisational and Policy Framework; 2, Working Together Within a National Framework* (London: HMSO, 1982).

¹⁸ *Ibid.*

¹⁹ *The Future Development of Libraries and Information Services: Progress Through Planning and Partnership; Report by the Library and Information Services Council Library Information Series no. 14* (London: HMSO, 1986).

formulation. If this aim is to be achieved, some more effective techniques of co-operation need to be developed.

The report went on to argue that libraries "should move more purposefully from a mainly 'holdings' strategy requiring the accumulation of large stocks towards a mainly 'access' strategy in which emphasis is placed on the efficient procurement of material and information as required." Yet the report's proposals to achieve this aim did not include the establishment of any new machinery to facilitate the shift in strategy advocated; they included a degree of planned coordination between institutions, of which the example quoted, subject specialization schemes, was hardly encouraging, given the very limited success of such schemes in the past; cooperative provision, of which the examples quoted, regional library systems and automation cooperatives, had both failed to address the issue of resource sharing; and central provision of services for the use of others, "usually on a payment or subscription basis." Apart from the fact that the report could not, by definition, directly address the situation outside England, it also accepted that the role of government was limited to advice:

In present circumstances . . . autonomous bodies responsible for providing library and information services will continue to determine for themselves their allocation of resources to those services. It will be the responsibility of the Office of Arts and Libraries, (the government agency responsible for library matters) by advice and discussion, to encourage a climate of co-operation in which, by agreement, individually allocated resources are deployed to maximum benefit.

The second LISC(E) report comes closer, perhaps, than any other official statement before or since to advocating resource sharing among libraries and information providers on a national scale, and several of the key concepts contained in the report are still matters of widespread debate. One recurring theme in many of the reactions to FD2 is that the developments advocated in the report would require additional funding to implement; and SCONUL, properly reflecting the concerns of its members, questioned the shift to an "access" strategy, arguing that the development of large holdings by university libraries itself contributed to the growth of access points to the literature available to the nation as a whole; but that access was itself put in jeopardy if university libraries were subjected to continual erosion of financial resources.

It would be difficult to yet point to major developments that show the implementation of FD2. The third report turned its attention to the development of cooperation on a local or regional basis, the so-called "bottom-up" approach, and was issued in 1986. The cynical might argue that this shift in emphasis was tacit acknowledgement of the lack of progress on national planning that the first two reports had advocated. This impression might find further confirmation in the fact that FD3, in promoting the creation of Library and Information Plans (LIP), turned to an existing voluntary organization as the means by which local schemes could be coordinated nationally. The report

. . . has two themes. The first is that those responsible for funding and managing library and information services are more able than central government to determine the quality and range of provision. The second is that library and information services now need, not merely to supplement informal co-operation

by more deliberately planned relationships, but also to contract together within a library and information plan to provide services which make the maximum possible use of resources.

Perhaps the most interesting aspect of the LIP concept, as described in FD3, is its very deliberate emphasis on the development of plans which would comprehend all the library and information providers in an area, echoing as it does the Parry Report's very similar statement twenty years earlier.

The LIP concept had already been tested in the county of Cambridgeshire before FD3 appeared, and had shown itself to be a useful methodology for the improvement of local cooperation. The report believed that

These plans would encourage three significant things to happen:

1. They would cause services to review and decide their priorities in the light of users' needs, the views of their governing bodies, and the total resources available.
2. They would allow services to rely on the undertakings given them by the other parties to the plan.
3. They could be the framework for new developments such as the formation of electronic enquiry networks, or closer business associations between providers of other goods and services either in the public or private sector.

LISC expressed the hope that the Minister for the Arts and Libraries would, through the British Library's Research and Development Department, fund a two-year trial period, during which a variety of LIP exercises could be undertaken. Since the report was published, such a trial period has been inaugurated, and a variety of LIPs are now in progress, some based on counties, some on other units, including one of the English Regional Library Systems. It is too early to say how successful these exercises will be; it is clear, from the Cambridgeshire Plan, that the setting up of machinery by means of which libraries of all kinds can meet together, learn more of each others' problems, and tackle matters of common concern, is a valuable step forward in library cooperation. To a degree, services to users must benefit as a result. But it is not yet at all clear that the first of LISC's predicted consequences will follow, the review of priorities and the careful examination of total resources in the area. As all participants in an LIP are discovering, the obligation to defend the interests of one's own users can quickly conflict with the desire to help the wider community, particularly for the larger academic libraries involved who may reasonably conclude that the additional benefits to their users will be few, whereas wider access to their stock and services may be of very great benefit to the local community. The situation seems to call for a fundamental shift in our view of what academic libraries—or libraries of any kind—are for, and that is not a problem that librarians alone can solve: it requires a change in attitude of our clients, a recognition by our paymasters that our functions are of public rather than purely institutional significance, and some guarantee of the additional resources that wider access to our collections and services might require.

There is of course one other cause for concern in the FD3 approach, and that is that "bottom-up" cooperation does not remove—indeed may serve only to emphasize—the need for

some overall coordination of local activity. That need was indeed recognized in FD3 itself:

The philosophy underlying what has been said is that resource issues should be dealt with at the lowest level possible. But there are related matters which, because of their complexity and breadth, must be considered nationally. For these the bottom-up approach has to be complemented by the top-down process so that general policy can be agreed. National policy on the most effective use of library and information resources cannot be imposed from above . . . Those concerned with the management and financing of library and information services must help create that policy, making full use of the existing machinery. This will require of them a greater acceptance of personal responsibility for the events which occur; more openness between the staff who provide the services, their governing bodies, and the users of the services, as to the objectives of the services and their effectiveness; and a general willingness to explore new opportunities, whether these are in the public or private sector.

Although some of this reads more like a homily than a sober piece of reasoned argument, the sentiments expressed in FD3 are on the whole unexceptionable, and the recognition that some form of national coordination and planning is required is of fundamental importance. But LISC was, one suspects, obliged, by the certainty that there was little prospect of a new centrally funded coordinating body, to direct this responsibility to an existing voluntary organization which at the time had very limited capability to undertake the task, the National Committee for Regional Library Co-operation (NCRLC). The subsequent history of this recommendation is indicative of the difficulties that a national body with real powers would face, despite the ample evidence that the need for such a body has been widely acknowledged.

NCRLC was created in 1931, as a forum in which those concerned with interlibrary lending could discuss matters of common concern. In particular, the committee has been the principal vehicle for the coordination of the activities of the Regional Library Systems, and more recently, with its membership now including not only the Regional Systems and the British Library, but also a wide range of representative bodies such as SCONUL, it has had some importance as one of the few coordinating bodies with a remit covering the whole of the United Kingdom.

But the committee has always operated on a purely voluntary basis, with no permanent secretariat, premises, or financial resources of any significance. The FD3 recommendation, that NCRLC should monitor and attempt to coordinate Library and Information Plans, followed other pressures, from FD2 and from within the committee itself, to strengthen the committee and to give it a much higher profile. The chairman produced a discussion paper which proposed a number of changes that would, in his view, enable the committee to take up the responsibility for LIPs and generally to play a more pro-active role in library cooperation. Whilst many respondents supported the aims of the paper, there was also widespread criticism of the detailed arrangements proposed, and it was finally agreed that there should be a full feasibility study to see how NCRLC could be turned into a more effective body. The study was carried out by Alex Wilson, and his report was published in March 1988²⁰. Wilson's proposals involved the reformation of NCRLC into a National Council on Library and Information

²⁰ Alex Wilson, *Proposed National Council on Library and Information Cooperation: Report on a Feasibility Study*. . . (London: NCRLC, 1988).

Cooperation (NCLIC); the new body would continue to be formed from representatives of the Regions, the British Library, and as many other organizations in the library and information field as chose to join, all of whom would pay an annual subscription. From the money thus raised, it was proposed that there should be a full-time director, with secretarial support and a permanent office.

The aim of the Council is to promote the effectiveness of the library and information sector [LIS] in the United Kingdom by means of cooperation and partnership. Within these aims the objectives of the Council are:

1. to represent the interests of the LIS community to Government, the British Library, the book trade and others.
2. to seek to improve communications, remove barriers, carry out research, disseminate awareness of good practice, and encourage innovation.
3. to support LIS professionals by the provision of opportunities for exchange of experience, continued education and training, especially in business management, and publications.

The reaction to the Wilson Report was mixed; while many respondents welcomed the continued efforts to strengthen the national coordinating body, there was much criticism of the detailed proposals and considerable hostility to what in some quarters seemed excessive powers to interfere in the work of other bodies. This was of particular concern in Scotland, where the proposed NCLIC was seen as duplicating the work of existing Scottish organizations. The Office of Arts and Libraries also expressed some reservations about the proposals, which, perhaps unfairly, were widely interpreted as a reluctance to help set up a body which was all too likely to take a critical line on government policy towards libraries.

The NCRLC saga is not yet complete; the committee is now seeking to achieve some rather more limited improvements (including, crucially, the appointment of a permanent staff member), and it remains to be seen how far the body can achieve a higher profile in the U.K. library scene. What the whole episode does seem to demonstrate only too clearly is that the highly fragmented nature of much of the cooperative activity in the U.K. is likely to be a real obstacle to progress, and that official involvement limited to exhortations for voluntary action, with little or no resourcing or central direction, is, in the long run, ineffective.

This paper began with a question—do we have valid models for resource sharing? Despite the long list of achievements in cooperative activity in the United Kingdom, it may be doubted whether there is much that can offer a valid model for resource sharing. Such initiatives as have been proposed or attempted have so far made little progress. At the heart of any resource sharing exercise must be cooperative collection development, and in this area the evidence is particularly sparse. Joel Rutstein identifies a number of obstacles to progress, most of which are not unfamiliar to SCONUL members: the behavior of our users—"in what has been described as the 'law of least effort,' patrons usually place convenience of access well before quality of resource"; the tendency to defend local autonomy on the part of institutions and the limitations to freedom of action by librarians—"academic libraries especially are servants of their institutions, and their fortunes must reflect their institutional mission," and the danger that university authorities may too readily equate cooperative activity with cost-cutting; and the

"large institution syndrome," whereby the largest libraries may see cooperative activity as more likely to lead to increased demand on their resources than as a means to extend the range of resources available to their own users. In reviewing the progress of the Colorado Alliance for Research Libraries, Rutstein gives specific examples of the problems that have occurred—the continuance of "local prerogative" in collection development decisions; "politics," the seemingly ineradicable mistrust between some of the libraries involved; "state boundaries," or the doubts in some quarters about the relevance of a purely local scheme when technology was tending to reduce the significance of geography; and "cost avoidance," or the disillusionment that set in when anticipated savings did not materialize quickly. Given these obstacles, it is clear that resource sharing is not a matter which is easy to plan or to implement; it requires a clear statement of objectives and a considerable commitment on the part of the participants, together with an acceptance that tangible benefits may well be slow to appear. This is not to say that the sharing of resources should not be attempted—indeed it might well be argued that in the long run there is no other way forward—but it is to conclude that so far, in the United Kingdom at least, there are few if any valid models of how resource sharing programs can be established and made to work. What we do have, is a long and often laudable record of cooperative endeavour, and a growing awareness on the part of most librarians that self-sufficiency is now an unattainable goal. We have, too, some of the machinery that resource sharing will need to progress, and the expectation that technology will continue to assist with the removal of practical barriers. The pieces of the jigsaw are probably now all available: what we have yet to do is put them together.

Postscript. This paper was originally conceived as essentially an historical and factual account of what had happened (or not happened) to resource sharing in the United Kingdom. On re-reading it prior to publication, it should perhaps have looked forward to consider a new element in the situation which may, through external pressures, force British academic libraries into resource sharing, at least of a kind. In a real sense, the nature of British universities is itself changing. The University Grants Committee is clearly committed (and we can only assume that its successor, the Universities Funding Council will be doubly so) to much more central planning of teaching and research, to continued assessment and grading of institutions, and to the critical analysis of scholarly and other outputs from universities. University libraries will have no choice but to follow: indeed the UGC has already indicated that universities must take account of research selectivity in the allocating of library funds. Our individual libraries will therefore have to be seen as integral parts of the national provision for teaching and research, and our collection policies, service provision, and long-term stock management, will need to reflect our Universities place in the national structure of academic institutions. That at least seems to be the unavoidable logic of the situation. Given all that has happened in the past—especially the deep-seated insistence on the primacy of local needs—recognizing and reacting to the new situation will be slow, painful, and unwelcome, but paradoxically it may be the only way in which local and national needs can be reconciled, for if our users' activities are themselves determined by a national academic plan, then by definition proper library support for these activities will also reflect national priorities. So far, all this is largely speculative and perhaps not germane to a review article, but in applying the lessons of the past it may well be a new factor of critical importance for British university libraries.

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"The fault, dear Brutus, is not in our stars
But in ourselves, that we are underlings."

Julius Caesar, I. ii. 134.

Some time during the 1930s, the American Historical Association held its first meeting beyond the confines of the East Coast of the United States, venturing to the hinterland of Madison, Wisconsin. At one cocktail party during the conference, Samuel Eliot Morrison, the noted Harvard historian, met Merle Curti, an equally famous intellectual historical from Wisconsin. The story has it that Morrison, a very tall man towering over the much shorter Curti, looked down to him and said, "How far East do you have to go to get a decent library?" Curti looked up and quickly said, "The British Museum."

I open with that story first to illustrate what for centuries has been a most effective form of sharing resources, the accessibility to scholars of materials not owned by their home institutions or not easily available where they live. Secondly, I use it to pay formal tribute to our British colleagues for making available to American scholars the research riches of Britain's libraries and archives. From my own university I know personally at least half a dozen scholars who spent this past summer working in libraries, archives, and museums here. Others are here for the year. In turn, we have recently welcomed scholars from England, Germany, African, Canada, and Australia, and I hope have served them with the same generosity and efficiency our own scholars experience in Britain.

I confess to having had some difficulty with the assigned title and topic of this session: "Sharing Resources: Are There Valid Models?" Like Fred Ratcliffe, one feels that the rhetorical question almost demands a negative response. It seems *une question mal pose*, seeking some ideal model of reproducible results which we might accept and implement, and be done with all this talk. One doubts that such models exist in the real world and my own preference is to speak of reliable or effective approaches to sharing resources, and abandoning the distorting metaphor of the model.

Let me begin by briefly describing a few American approaches to sharing resources which have had varying degrees of success, whether measured (if at all) by better coverage, improved access, or lower costs. Regional agreements have been used effectively in some locations to assign responsibilities in broad subject areas. For example, in the 1890s, librarians in Chicago forged an agreement by which the Newberry Library would serve as the major research resource in humanities, the John Crerar Library in sciences, the University of Chicago in the social sciences, and the Art Institute of Chicago in art historical resources. The recent merger of the Crerar Library into the University of Chicago maintains the arrangement of broad cooperative

collecting policies, even though each of the participating libraries is completely independent and autonomous.

New York saw a similar, though less comprehensive, agreement in the 1930s when the New York Public Library sought some reduction in its scope of responsibilities. By agreement then, Teacher's College became responsible for comprehensive collecting in education and pedagogy, the New York Academy of Medicine for its obvious fields, the Union Theological Seminary and the Jewish Theological Seminary for religion, and the New York Bar Association for law. Despite the pitfalls of uneven and sometimes inequitable access to some of these libraries for the researching public, the agreements have effectively shaped the library landscape of those major cities, making the whole greater than the sum of the parts might have been.

The Farmington Plan of the post-World II era can be seen now as a more flawed approach to cooperative collecting. Its method of assuring comprehensive research coverage of foreign language materials by distributing collecting responsibilities by subject and country among ARL libraries did in fact lead to pockets of collecting strength throughout the country. Problems of budgeting constraints, lack of real quality control in selection, and a growing divergence of the collection responsibilities with the local academic programs led to its demise. Related successors were the National Program of Acquisitions and Cataloging and the Public Law 480 program, both of which provided direct federal funding for strengthening research library collections.

Various groupings of universities in relatively close proximity have attempted collaborative collection building. The Triangle Research Libraries in North Carolina, University of California, Berkeley/Stanford University in California, Rutgers University/Princeton University in New Jersey, and the Five Associated University Libraries (FAUL) in Central New York State come to mind. Despite some successes, I agree with Hendrik Edelman that, generally, "faculty pressure to develop research resources locally prevailed."¹

We need not dwell at length on the other classic American examples of resource sharing. The Center for Research Libraries, with its emphasis on lesser-used research materials and quick delivery of those materials to its members, has successfully relieved local pressures for certain kinds of acquisitions and provided a means of cost-avoidance of considerable proportions. Despite its occasional problems of fiscal instability and governance issues, it is, if not a model, an effective partner in the provision of national research resources.

OCLC, Inc. and the Research Libraries Group (RLG) represent, in my view, our most successful tools for the sharing of resources within the United States. As cooperative endeavors of large numbers of very independent institutions, they are remarkable achievements of a very short period (20 years) in American library history. Their stimulus to uniform standards of description and practice in cataloging, their high level of expeditious interlibrary lending, and their databases now regarded as the foundation of resource sharing represent for us a transformation in library services too easily taken for granted.

I will return later to the subject of the RLG Conspectus, its expansion to the ARL North American Collection Inventory Project (NCIP), and its subsequent adaptation elsewhere. The Conspectus is simply an attempt to provide a common language of collection description on which local and cooperative collective planning and management can be based. Although not a model in any scientific sense, some of our institutions have found it a valid approach to shaping their internal collection policies and to exploration of cooperative possibilities in shared

¹ Hendrick Edelman and G. M. Tatum, "Development of Collections in American University Libraries," *College and Research Libraries* 37 (May 1976):228.

collecting, cataloging, and preservation.

This has not been intended as a comprehensive survey of resource sharing attempts in the United States. Nor is it intended to gloss over or whitewash the many problems encountered in each of these endeavors. It does, I hope, confute or at least mitigate the pessimism of the Old Testament prophet who said that "they that weave networks, shall be confounded."²

Despite many accomplishments, several impediments exist to sharing resources among and between research libraries. The same chapter of Isaiah also says that "they that spread nets upon the waters shall languish." Some of our colleagues believe that cooperation is only for the weak. Some would also argue that competition is the greatest incentive to building strength of research coverage locally and nationally, that cooperation in collection development can only diminish all of us, and that the emphasis on availability over ownership in hope of cost containment will attenuate collections everywhere. Apart from these general and attitudinal arguments, there are more specific problems which ought to be noted. The difficulty we have in universities in matching the development of new academic and research programs with the resources, financial and human, necessary to support those programs is familiar to all U.S. library directors. The corollary reluctance to reduce allocations for declining programs inhibits the institutional ability to build on its program priorities and to make appropriate contributions to resource-sharing schemes.

Related to this problem are changing demands created by changing fashions in research and topics of interest. The rise, fall, and resurgence of area studies in our country is an example. Who knows how *glasnost* or the Chinese connections have buffeted our collection development policies—they certainly have affected my institution with new demands placed on the old resources. Failure to coordinate academic degree programs regionally (as in British Columbia, for example) can also create contentious demands for resources.

For decades librarians have seen the truly comprehensive research library as a figment of our predecessors' imagination and boldly proclaimed that the myth of self-sufficiency is dead. Unfortunately the word has not reached all of our faculty, many of whom still insist and certainly desire that their library must be self-sufficient, at least for their own needs. None of us can reasonably contest the primacy of our local constituencies over the demands of resource-sharing agreements, but the unrealistic expectations we encounter, especially in the area of scientific journals, put further constraints on our capacity for cooperative collection building and the sharing of collections.

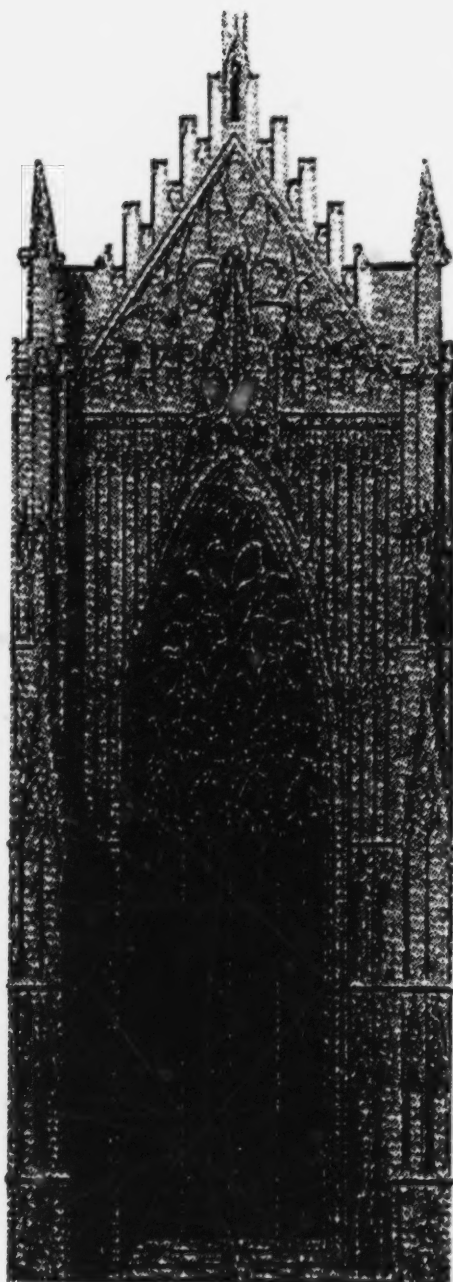
I have already alluded to the Conspectus as primarily a tool of communication developed to address these and other problems. No one could have been more surprised than its progenitors at its expansion beyond RLG, first to NCIP, then Canada, Great Britain, and now a number of other countries. As an outsider now observing these developments, and seeing the contentiousness the subject provokes, I am trying to understand the differing reactions abroad to cooperation in general and the Conspectus in particular. Three differences seem germane: U.S. research libraries, whether of public or private universities, of governmental (national) status, or private independent corporations (like the Newberry Library in Chicago, the Folger Shakespeare Library in Washington, or the J.P. Morgan Library in New York) are truly autonomous and choose their cooperative activities with an eye to their own self-interest as well as their sense of mission. Secondly, the networks and the standardized formats they use have provided rapid means of communication among the participants, fostering cooperative

² Isaiah 19:9

approaches. Finally, the major funding sources in the U.S.—foundations, corporations, and government—have placed a high premium in their grant programs on cooperative programs that benefit groups of libraries rather than single institutions. Only in this sense is cooperation dictated in the U.S. The Conspectus development in RLG was a totally voluntary experiment, the only coercion being peer pressure among members. By contrast, Conspectus use in other countries has seemed to be imposed by higher authority, producing some of the adverse reaction we will hear in the next few days. Characteristic of the early development was a great deal of debate and we are glad that the debate continues. Some potential players will prefer to go their own way, following the anarchic model of the museum world, especially in the U.S. For myself, I will not praise their cloistered virtue, but I do believe that they should at the least not interfere with those who wish or need to collaborate.

Collaboration is essentially a conspiracy to seize the power collectively to address problems that cannot be solved individually. Sharing resources is but one example. In the United States it has taken 20 years of struggle and determination to find large-scale solutions to our problem of the preservation of brittle materials. Events of the past year leading to greatly expanded funding would not have occurred if many underlings—in Cassius' term—had not addressed the problem collectively, seeking influence wherever it could be found. I understand that discussions are underway to extend funding for cooperative microfilming preservation to major libraries in this country. We will welcome their participation in a program, including bibliographical access, which can only be mutually beneficial.

None of this is predetermined or in our stars. Technology is, however, a driving force toward greater cooperation. Linked systems, high-speed networks, new modes of document delivery, will, unless we are truly foolish, bring us closer together. But it will continue to be our job to form the coalitions necessary to answer the requirements of scholarship and research. This will apply in every field and every format, in printed books, in archives and manuscripts, and in digital information. This conference is another step in that process of coalition building and I appreciate the opportunity to share some thoughts on the subject with you.



Session II

in an environment with limited funding, how can research LIBRARIES increase their effectiveness for collection development and sharing?

Speakers:

REG CARR
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Graham R. Hill
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REG CARR

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University of Leeds

The strategies to be adopted . . . are internal (rationalisation and co-ordination) and external (co-operation). Internal strategies include clarifying priorities, raising revenue . . . maintaining acquisitions as a core priority . . . drawing up collection development policies, establishing subject priorities by means of the "conspectus" methodology . . . External strategy is to continue and extend the . . . tradition of positive co-operation, to participate in the 'research library network' . . .'

Axioms and Assumptions

Since I am presuming in this paper to speak in something of a representative capacity on behalf of SCONUL librarians generally, I hope that I speak for them all when I begin by suggesting that there are a number of points in relation to research libraries in the U.K. which we can take as read without much further discussion.

I take it as axiomatic, for example, that no research library—even the largest and most generously-funded (comparatively speaking, of course)—could ever hope to be self-sufficient in meeting all of its users' needs from its own locally-held stock. Even the copyright libraries, with all their enormous intake, do not expect to achieve this, and both Oxford and Cambridge provide their readers with an Inter-Library Loan service, albeit on a limited scale. Even our national library relies to a considerable extent on the help received from the "back-up" libraries, which enable it to provide such a high level of service to the research effort of the nation.

I take it as axiomatic also that all those who manage the U.K.'s research libraries, both great and small, share the same philosophical conviction that their individual library collections, and the services they provide on the basis of them, are, to a greater or lesser degree, part and parcel of the national information resource and that, in the words of a recent LISC (England) document,² they "require a conscious national effort to maintain them". And that means that we all agree that we need not just a deliberate act of will in this direction on our own part and on the part of our individual institutions, but also an adequate level of funds from central

¹ Kenneth R. Cooper, "A Review of Funding and Its Implications for Collection Development and Access in the British Library," in *Research Collections Under Constraint and the Future Co-ordination of Academic and National Library Provision*. British Library R & D Report 5907 (London: 1986), p. 31.

² Library and Information Services Council, *The Future Development of Libraries and Information Services: Progress through Planning and Partnership* (London: HMSO, 1986).

government to enable us to get on with the job and to do it well.³

I hope that I can assume also that we agree, in principle at least, that interlibrary cooperation—call it "collection sharing" if you like—is what the popular classic *1066 and All That*⁴ would have described as "a Good Thing", even if we may entertain certain misgivings about the effectiveness, economic or otherwise, for some of the cooperative schemes which have been tried in the past or which may be on the agenda for the future.

Two Souls

But even if there are no SCONUL librarians who would wish to demur from any of these basic assumptions, I cannot believe that I will be entirely alone in approaching this second session's topic with at least a touch of ambivalence bordering on the schizophrenic. This is perhaps not the occasion for too much personal comment; but there must be other librarians who will know what I mean when I say that in considering the twin themes of collection development and collection sharing—especially in the context of limited funding—I feel a bit like Goethe's Faust, who frankly expressed the struggle going on within him between two conflicting impulses in these well-known words:

Two souls, alas, are housed within my breast,
And each will wrestle for the mastery there.⁵

My "two souls", of course, are, on the one hand, the institution-centered (some would say the self-centered) requirements of my service to my own university (which, after all, pays my wages), and, on the other hand, the wider professional and scholarly demands of the academic and research community at large.

In a simplistic sort of way, perhaps, I could call the first of my two "souls" *collection development*—since it is in my own institution's self-interest that I should develop for it the most effective library I possibly can with the resources the university puts at my disposal (and as far as my university is concerned, I do that without direct reference to the library needs of anyone else in the world). My second "soul" I could call *collection sharing*, since that is the rather more altruistic impulse to which I give way in my more outward-looking moments—to help meet some of the library and information needs of the wider community of scholarship and research. At Leeds, for example—quite apart from all the various kinds of interlibrary cooperation in which I allow my library to be involved—we have about 7,000 registered external readers making extensive use of our collections, and relatively few of them contribute anything by way of hard cash to the library's continuing development. From the purely restricted viewpoint of the

³ I assume, therefore, that we all agree with Arthur Davies that "unless library funding can be restored, [we] will be unable to provide for [our] own communities or for the national benefit at anything like the level needed." *Academic Library Funding 1980-81 to 1985-86 and 1986-87 to 1988-89*. SCONUL Document 86/235 R. (London, 1986).

⁴ Walter C. Sellar and Robert J. Yeatman, *1066 and All That: A Memorable History of England* (New York: E. P. Dutton, 1931).

⁵ Goethe. *Faust, Part One*: "Outside the city gate."

resources they consume, they could in one sense be unkindly characterized as parasites.

It is unfortunately also the case that interlibrary cooperation has so far rarely saved any money; and because of this, collection sharing seems likely, more often than not, to be limited, or at least governed, by institutional self-interest, and perhaps all the more so when resources are becoming tighter.⁶ Shall we even be allowed by our institutions to cooperate, to share our collections more, or shall we be obliged by our very poverty, to become more selfish? If the writing is on the wall, who can decipher the meaning of what it tells us about the future?⁷

Well, at least the reality of the conflict between my two souls has been admitted, and recognized, by librarians on both sides of the Atlantic; and the psychologist will tell you that admitting you have a problem puts you already half way on the road towards solving it. Tony Bowyer, for example, formerly Librarian of Queen Mary College, London, wrote in 1981 (in John Stirling's very readable volume on *University Librarianship*) that the parochial interests of a university are very often "the ultimate constraint in any resource sharing scheme".⁸ In America, the former Director of the Illinois State Library, Al Trezza, took it a little further (and put it rather more colorfully, as so many Americans do) when he wrote in 1974 that "the two most serious barriers to the development of library systems, cooperatives and networks are fear and funding—in that order".⁹ I hope it is the case that, with a further fourteen years' experience of interlibrary cooperation in so many areas since Trezza wrote those words, a lot of the "fear" will by now have gone from our minds. But the funding problems are undoubtedly worse—much worse in the U.K. at least¹⁰—and many of us are struggling to maintain (let alone improve) our effectiveness in our own neck of the university woods.

The Search for Solutions

The late John Joliffe once wisely said that librarianship is concerned with "the

⁶ SCONUL itself, in its corporate submission to the LISC/BLRDD "PUPLIS" Working Party in 1986, noted that "in making its resources available on a wider basis, a university has to balance the competing demands of external users with the legitimate requirements of its own registered users, both for specific material and for reading space within the library." Office of Arts and Libraries, *Joint Enterprises: Role and Relationships of the Public and Private Sectors in the Provision of Library and Information Services* (London: HMSO, 1987), p. 23.

⁷ According to Martin Cummings, reduced funding for research libraries in North America has been a major stimulus towards collection sharing: "economic or budget constraints. . . have forced librarians to seek alternative means of supporting acquisitions, technical processing, and interlibrary lending. . . Despite the problems. . . most libraries will be forced to complement collection development with new access arrangements and resource sharing." *The Economics of Research Libraries* (Washington, D.C.: Council on Library Resources, 1986), pp. 47, 53. The situation in the U.K., however, does not seem so clear cut, as I explain later.

⁸ T.H. Bowyer, "Cooperative Schemes and Resources Sharing. Case-study of the University of London." In *University Librarianship*, ed. John F. Stirling (London: Library Association, 1981), p. 160.

⁹ "Fear and Funding," *Library Journal* 99 (December 15, 1974):3174.

¹⁰ The scale of the funding reductions in U.K. university libraries since 1981 is conveniently outlined in the SCONUL Document, *Changes in the Pattern of Expenditure*, issued in July 1987. See also: Peter Mann, "University Libraries Draw the Short Straw Over Funding," *The Bookseller* 25 (September 1987):1298-99.

reconciliation of opposed objectives".¹¹ How then, if at all, are we to resolve our inner conflict and to *share* our collections more effectively without detriment to our individual collection development? What, if we are even willing to recognize our schizophrenia, is the cure for our double-mindedness? How, in an environment with limited funding, can our research libraries actually increase their effectiveness for collection development as well as for collection sharing? These, I believe, are the questions on our agenda now, and they are clearly important ones for us to address.

However, I want to attempt to look for some answers first of all by dodging those questions altogether—like most British politicians (and most American ones too, by all accounts)! I want instead to isolate the two conflicting features of our collective psyche—our two "opposed objectives"—and to analyze them separately, for a while at least. So forgive me if, for the moment, I try to answer a question which is almost, but not quite, the one which is being asked, by discussing, first, how research libraries can increase their effectiveness for collection *development*. And it may be that when we come subsequently and separately to consider how to improve our effectiveness at collection *sharing*, we shall find a number of areas at least where our two wrestling souls can live not just in peaceful coexistence, but perhaps even in a state of fruitful and effective cooperation.

Discussion Topics in Collection Development

Now the bare bones of this discussion paper have been to some extent determined by the program committee, and there are certain topics which I shall be obliged to draw into this analysis of research library collection development. These include the related subjects of the mechanisms for the receipt and disbursement of library funds, the various ways of defining (and refining) a library's budgeting and collecting aspirations, and the possible role of performance indicators in improving library effectiveness. On what basis do research libraries in the U.K. have their funds allocated to them? How do they determine the most effective way to spend those funds? How do they monitor and control their budgets, and how do they know what resources they need and what they should spend them on in order to achieve their objectives successfully? What indicators, if any, do they use to assess their own performance? And how, if at all, can they increase their effectiveness for collection development by giving attention to any or all of these questions?

The Source of Funds

As far as the allocation of funds to the research libraries of the U.K. is concerned, it is, of course, still the case that the lion's share of those funds comes from public rather than from private sources. If the British Library, under increasing pressure from Her Majesty's Treasury and the Minister for the Arts, is looking to raise its revenue-generation to almost a third of its income with a reasonable hope of success thanks to its position as the national library, other large research libraries, and especially those in university institutions, cannot conceivably hope to be anything other than heavily dependent on the public funds made

¹¹ In the course of a talk on "International Cooperation in Preservation," given to the 1984 RLG International Conference on Research Library Cooperation, Stanford, California.

available to them directly through the Department of Education and Science, the University Grants Committee (UGC) and their own institutions. In a recent survey,¹² the seven largest university research libraries in the U.K. were found to be on average about 94% dependent on direct UGC financing for their materials budgets—and this includes the libraries of Oxford and Cambridge Universities, and also takes general account of some very sizeable trust fund income, of donations from the private sector, and of considerable revenue-generating activities in the libraries surveyed. This is perhaps not the time and place to say whether or not we agree with the economic philosophy of the present Prime Minister; but the practical effects of monetarist policies, in universities just as in other publicly-funded institutions, is to force them to rely less on central funds wherever they can and to "earn," as it were, their independence by raising as much money as they can from other sources—principally in connection with their research activities and overseas student recruitment. If the U.K. universities are successful in doing this,¹³ then clearly their libraries will thereby be less dependent on public monies. But as far as the libraries themselves are concerned, it seems to me that there just has to be some limit (although I do not claim to know what that limit may be) on their ability to raise from private sources the consistently large amounts of income they require for recurrent purposes. Those of us who have been involved in library fund-raising know only too well how difficult—and how time-consuming—that activity can be; and such successes as we have achieved have been largely for non-recurrent purposes, mostly for the one-off purchasing of important items or of large and prestigious special collections. Our research libraries are likely to remain, in my view, very heavily dependent for their funds on the largely publicly-funded institutions which they serve.

That being said, we can still perhaps profitably examine how we might increase the *levels* of funding that we actually receive from our institutions—for that, surely, ought to be one way of enhancing our effectiveness for collection development. Having more resources does not necessarily make us more effective, I know—that depends on how we use our resources; but even in an environment with limited funding, I believe that we should not simply throw in the towel and stoically accept that we are necessarily going to receive a lot less than we think we should have. On what basis, then, do our research libraries currently obtain their funds from their institutions, and is there any way in which we can improve individually on our present financial situation, or even simply ensure that we do not fare a great deal worse from year to year at the local, institutional level?

It is well known, of course, that the important UGC Parry Report of 1967 recommended that a university should spend a minimum of 6% of its total recurrent expenditure on its library.¹⁴ Very few libraries have ever received this level of funding, however; and the days have long since gone when a librarian could use that UGC recommendation as a lever with any real hope of jacking up the library grant a notch or two in the university's spending priorities. Indeed, Shattock and Rigby's influential 1983 monograph on *Resource Allocation in British*

¹² Conducted by the writer during the early part of 1988.

¹³ The UGC's preliminary review of our universities' own financial forecasts in 1987, however, concluded that the "Universities' degree of dependence on government for their income will not decline." (UGC Circular letter 9/88).

¹⁴ University Grants Committee, *Report of the Committee on Libraries* (London: HMSO, 1967), paragraph 621.

*Universities*¹⁵ firmly rejected the financial model on which Parry's recommended minimum standard of 6% was based. Shattock and Rigby's work, which has been widely disseminated among university administrators, also concluded that no U.K. university, at that time at least, had worked out any effective way of judging its library's true financial requirements. Instead, most universities determined the size of the library allocation on the basis of the historic position, assessed needs, and competition with other budget claims. Since then, of course, a number of U.K. universities have introduced "zero-base" budgeting techniques as a means of determining the funds to be given to spending departments; and others have swollen the ranks of those institutions which use pre-determined formulae for resource allocation.¹⁶

There is, however, as far as I am aware, no evidence that these techniques have made the libraries of those institutions either better off than their counterparts elsewhere, or even better off than they would have been if their institutions had used a more "traditional" approach to resource allocation.¹⁷ The seven major libraries which make up the Consortium of University Research Libraries (CURL)—and which are certainly the biggest spenders in the university library world in the U.K.—currently receive an average of 5.4% of their universities' total income; and yet not one of them is allocated its funds on a formula basis. Nor, so far as I know, does any of the CURL librarians think that the introduction of a formula would help to make their funds for collection development more substantial. Instead, the level of their library funding is determined by a series of interfaces, both formal and informal, between the librarians, the administrators, and the academics who determine the institutional priorities. With the largest research libraries, in other words, the process is essentially political and judgmental rather than a coldly mathematical. This has its dangers, of course; and very much depends upon the influence and credibility of the librarian and his or her relationship with the other personalities involved, as well as on each institution's existing decision-making structures. Even in institutions with large and prestigious research libraries like the CURL group, it is not unknown for the Philistines to hold away in the corridors of power and for the attitudes of senior administrators towards the library to run the whole gamut from largely ignorant hostility to supportive and informed sympathy. But it is surely the role of the librarian—perhaps even the librarian's most important function—to modify and improve those attitudes by powers of advocacy and careful persuasion. I, for one, would not think I was doing my library a service by abandoning that often difficult and always delicate task in favor of a routine adherence to a fixed formula. But I shall be interested to hear what others have to say about that.

The fact remains, I believe, that the universally "right" percentage formula for resource allocation to a university library simply does not exist: it is a will-o'-the-wisp, and particularly

¹⁵ Michael Shattock and Gwynneth Rugby, ed. *Resource Allocation in British Universities* (Guildford: Society for Research into Higher Education, 1983).

¹⁶ Planning, Programming, and Budgeting System (PPBS) does not appear to have found much favor in U.K. universities, perhaps because of the many problems highlighted by J. L. Schofield in "PPBS and Some Related Management Systems in Great Britain," *Libri* 23 (1973):75-79.

¹⁷ The only evidence I have been able to discover tends in quite the opposite direction. For example, Evans and Beilby reported that the use of the Clapp-Jordan formula at the State University of New York in 1975 resulted in the loss of over \$600,000 from the annual library acquisitions budget. Glyn T. Evans and Albert Beilby, "A Library Management Information System in a Multi-campus Environment," in *Library Automation as a Source of Management Information*, ed. F. W. Lancaster (Urbana: University of Illinois Graduate School of Library and Information Science, 1983), pp. 164-196.

when resources are becoming tighter generally.¹⁸ Even the present Chairman of our University Grants Committee recognized the limitations of the formula approach in the macro-context of university research funding when he said, "If there is not enough money to go around, there is no good way of distributing it".¹⁹ What we in research libraries need above all, I suggest, is the will and the ability to get in among the institutional decision-makers, to impress them with the genuineness of the cases we make for funds, to convince them of the importance of our objectives, and to keep them constantly aware of how much we achieve with the resources they provide. Only in that way, I believe, will we be able to restrict any damage to the development of our major research collections which may arise in the present limited funding environment.

Management Devices for Collection Development

Now I am not unaware, of course, that there are various management devices which, in these days leading up to the more business-like and possibly hard-nosed Universities Funding Council, may well enable us not just to make our funding authorities *think* that we are using our resources effectively, but also actually to increase our effectiveness. "Financial sensitivity" is a buzz-word in the UGC at the moment, and it will clearly be appropriate for us not simply to have proper mechanisms for adequately monitoring and controlling our large expenditure of public money, but also to let these mechanisms be seen to exist and to work. A number of academic libraries, I know, are introducing formula-based subject allocations within their book and periodicals funds, and some are linked directly to computer models. Commitment accounting is becoming much more widespread. Regular computer printouts have largely replaced the accounts clerk's unwieldy ledger. Spreadsheets on microcomputers are not uncommon in librarians' offices. The written acquisitions policy is gaining in popularity; and the "Conspectus" approach to collection description and collecting intensity is being tried on a systematic basis in the national libraries and in Scotland.²⁰ What we have to decide, though—and in this we are each of us essentially on our own—is whether any or all of these techniques, applied in our particular library, would genuinely increase the effectiveness of our collection development. There is, I suspect, always the danger of falling for the bandwagon effect (not to mention the peer-pressure of the 'Emperor's new clothes' syndrome), especially in the application of the new technology for its own sake; and we must all be sure that we choose to use these techniques because we think they will really help us to improve our individual management of library resources. "Let every man be fully persuaded in his own mind", as the apostle Paul once said.²¹

¹⁸ Evans himself, after spending much time and effort trying to work out his own "ideal" formula for library acquisitions, came to the conclusion "that it is not possible to drive a 'formula'", *Ibid.*, p. 167.

¹⁹ In the course of an address to university vice chancellors and principals in 1986.

²⁰ See: Stephen Hanger, "Collection Development in the British Library: the Role of the RLG Conspectus," *Journal of Librarianship* 19, no. 2 (April 1987):89-107; Ann Matheson, "The Planning and Implementation of Conspectus in Scotland," *Journal of Librarianship* 19, no. 3 (July 1987):141-51.

²¹ Romans 14:4.

The CURL Libraries

For what it is worth, however, it may not be without interest that the librarians of the seven largest U.K. university research libraries—not all of whom are by any means stick-in-the-muds, or in their dotage either—do not seem wholly convinced that all such techniques are of value in their particular situation. For example, though all of them divide their materials budgets into book and periodicals expenditure heads (or have them divided under those heads before they receive them), only two of the seven formally subdivide those major budget divisions into fixed subject allocations,²² and only one makes these subject allocations on any kind of formula basis. And for all the seven libraries, the actual levels of expenditure on particular subject areas are arrived at not so much by some machine-based statistical model as by intelligent and experienced human decision-making and judgement—between the Librarian and the senior staff, between the Librarian and the Library Committees, and between the subject librarians and the academic staff—the whole process being very largely subject to appropriate variation and flexibility as circumstances demand.²³ Expenditure, too, is monitored as well as time permits and common sense requires; commitment accounting is generally practiced in those areas of the library budget where it is feasible to predict expenditure with reasonable confidence; and every one of the seven librarians has regular monthly expenditure statements, which are generally computer-produced.

In the five non-copyright CURL libraries, as in most other university libraries, there exist extensive networks of formal liaison on acquisitions between library staff and academics in given subject areas of institutional teaching and research activity; and in all seven CURL libraries, subject expertise of a high order within the library staff is harnessed to achieve effective purchasing within existing financial constraints. In some of the libraries, book recommendations are category-coded according to levels of priority for purchase; in others, periodicals lists are scrutinised by library subcommittees in the light of changing research patterns and of frequent interlibrary loan requests. Given that the single main objective for research libraries in universities is to supply the library and information needs of their academic communities, the direct involvement of academic staff with library staff in the selection of library materials seems to be one of the surest guarantees of the effective and appropriate use of scarce and valuable resources.²⁴

Most of the seven CURL libraries seem to agree that their collection development could perhaps be made more effective by means of a written acquisitions policy;²⁵ but there is nothing

²² This is very much in line with one of the conclusions of the Parry Report (paragraph 251), that "A strict allocation by department of the money available to the library for book purchases is not in the best interest of the library as a whole."

²³ "Bookfund allocation is . . . a human, and a political, as much as an objective, process." Don Revell, *Working Papers on Bookfund Allocation* (London: Council of Polytechnic Librarians, 1985), p. 4.

²⁴ ". . . the whole task of book selection in a university library must be a combined operation carried out by the librarians and the teachers." J. H. P. Pafford, "Book Selection in the University Library," *UNESCO Bulletin for Libraries* 27, no. 1 (January/February 1963):8.

²⁵ It is perhaps a little surprising, in retrospect, that more progress in defining acquisitions policies has not been made in university libraries generally since the clear recommendation of the Parry Report over twenty years ago that "Each university library should have a developing acquisitions policy which should be constantly revised. . . in the light of new gifts, of special fields of

like unanimity among them as to the possible value of Conspectus. Five of the seven either already have produced, or are about to produce, an acquisitions policy statement, and a number of them are either designating a member of staff as Collection Development Officer or are setting up a Collection Development Working Party to oversee this whole area. (But, just as an aside, this reminds me that the coordination of acquisitions practices, collecting intensities, and budgetary control was often formerly the province of that dying breed, the Deputy Librarian. Is this then, perhaps, just a rose by another name? And is there anything really new under the library sun?) Well, the Conspectus, at least, appears to be new;²⁶ but, as was said at the SCONUL conference at Exeter earlier this year, among U.K. university research libraries "There is no consensus about Conspectus". Two of the CURL libraries—the Scottish ones—already have Conspectus statements, and another would like to produce one; but the others remain somewhat skeptical and are waiting to see whether the costs outweigh the benefits. Bernard Naylor's as yet unpublished paper on the subject at the Exeter SCONUL conference earlier this year has nicely pointed up the dilemma for many of us.

The Measurement of Library Performance

But one "dilemma" which we in the U.K. will have to come to terms with before very much longer is the question of library performance measurement. Librarians have always been great producers of statistics and surveys, of course; but, as my U.K. colleagues will all be well aware, there is a world of difference between the tables of facts and figures which we have cozily produced for years for our own purposes and the altogether less obviously helpful measurement techniques with which our institutions are currently being menaced from above. For the benefit of our American colleagues, I should perhaps explain, in case they do not know, that the University Grants Committee and the Committee of Vice-Chancellors and Principals (CVCP), under pressure from the Secretary of State for Education that universities should become more accountable and more business-like, accepted in 1985 the recommendation of the Jarratt Report²⁷ that "a range of performance indicators should be developed, covering both inputs and outputs and designed for use both within individual universities and for making comparisons between universities". A joint UGC/CVCP working group was set up in 1986 and in July of that year the group produced a *First Statement*,²⁸ in which it defined its objectives and published a list of the sixteen indicators already in common use in universities for management purposes. One of those sixteen was "Library costs per FTE student", which, from the point of

development within the university, or of areas which have ceased to have relevance to the university's teaching or research." (Paragraphs 248 and 218).

²⁶ It could be argued, however, that the Parry Report dimly foresaw the aims of the Conspectus with its observation that "an acquisitions policy... enables the university authorities to distinguish patterns in bookbuying [and] is also valuable in pointing to collections in the library, any of which may be developed as the outstanding one in any field in a region or nationally." (Paragraph 218).

²⁷ Committee of Vice-Chancellors and Principals, *Report of the Steering Committee for Efficiency Studies in Universities* (London: CVCP, 1985).

²⁸ Committee of Vice-Chancellors and Principals, *Performance Indicators in Universities: A First Statement by a Joint CVCP/UGC Working Group* (London: CVCP, 1986).

view of large research libraries with regional and para-national responsibilities, was just about the most inappropriate indicator which could have been chosen.

But this *First Statement*, to be fair, was issued for general comment; it was seen only as a starting-point, and the working group was clearly looking initially for readily-available quantitative data. The group also made the following potentially reassuring statement: "The use of performance indicators is an aid to good judgment and not a substitute for it. The numbers will not and never can "speak for themselves". Mere inspection is not enough; interpretation is always necessary. It cannot be assumed that even a wide variation from a central value for a single indicator is either desirable or undesirable . . . Performance indicators should not be used to impose standardization either within an individual institution or more widely. The diversity of the higher education system is one of its strengths. An attempt to use performance indicators to impose uniformity is likely to destroy excellence".

"So far, so good", we may have thought. Or was it? Well, at least we were all given the opportunity to comment. SCONUL, of course, which has spent years carefully building up quite complex (and relatively reliable!) sets of library data, naturally drew attention to the availability of its statistics for possible inclusion in a more sensitive and sophisticated range of library input and output measures. My own university asked, in its reply to the working group, for proper account to be taken "of those university libraries which are recognized as major research libraries." And many other library authorities and individuals drew attention to the need for some account to be taken of qualitative aspects of performance measurement—the sort of thing we are concerned about in this meeting: not "*How much* does library x spend?", but "*How well* does it spend it?". It was all the more disappointing, therefore, that the CVCP and the UGC, having moved on in 1987 to set up a performance indicators steering committee, should produce in the autumn of that year a document containing seven library indicators which were nothing more than simple expenditure ratios.²⁹ Of course, the tables of figures relating to these seven indicators for the two years from 1984 to 1986 were hedged about by a number of caveats;³⁰ and certainly, the writer of the foreword disarmingly admitted that "uncritical use of these indicators may seriously damage the health of your university". But for those of us who are genuinely concerned about the effectiveness of our use of library resources, and who have nothing to fear from the development and exploitation of useful and acceptable ways and means of measuring and improving that effectiveness, the document was worse than just a simple let-down.

The seven library performance indicators proposed were as follows: library expenditure as a percentage of total general university expenditure; publications (that is, acquisitions) as a percentage of library expenditure; pay as a percentage of library expenditure; library expenditure per FTE student; library expenditure per FTE academic staff; expenditure on books per FTE student; and expenditure on periodicals per FTE student. Now quite apart from the fact that the figures quoted were based on returns of disputed accuracy, the usefulness of these particular

²⁹ *University Management Statistics and Performance Indicators: UK Universities* (London: CVCP/UGC, 1987).

³⁰ These were: "(i) There are differences in the structure, of individual libraries, which have implications for expenditure on acquisitions and on staff pay in relation to each other. (ii) Costs may be affected by differing practices in individual libraries with regard to non-printed materials, e.g. microfilm and databases. (iii) Subject mix in institutions will affect the kind of books and materials purchased." *Ibid.*, p. 175. SCONUL has since asked the CVCP to consider its own alternative and more comprehensive, list of eight caveats (SCONUL Document 88/25, dated 12 January 1988).

indicators is seriously flawed because, as Brenda Moon has rightly observed,³¹ "Expenditure is not an adequate gauge of performance in libraries. A library which spent one million pounds on publications but kept them locked up for all but 40 hours a week would not necessarily be more effective [than] one which spent one-half million pounds on books and journals and made them available for 60 hours a week". Every one of the indicators proposed is open to serious criticism, and especially in relation to the performance of large research libraries. This, for example, is what the data relating to the CURL libraries look like when abstracted from Table of the UGC/CVCP document (the 1984-5 figures are in brackets):

	Libr. exp. as % of total univ. exp.	Publ. as % of Libr. exp.	Pay as % of Libr. exp.	Libr. exp. per FTE student	Libr. exp. per FTE acad. staff	Exp. on books per FTE student	Exp. on pers. per FTE student
Cambridge	8.7 (8.7)	45 (45)	47 (47)	452 (429)	3100 (5040)	87 (89)	112 (94)
Edinburgh	3.6 (4.1)	26 (31)	67 (59)	232 (250)	2210 (2460)	25 (31)	34 (45)
Glasgow	4.1 (3.7)	34 (34)	59 (59)	237 (221)	2400 (2130)	41 (38)	35 (33)
Leeds	3.7 (3.9)	43 (39)	49 (46)	214 (215)	2230 (2290)	46 (44)	45 (39)
London	4.5 (4.2)	30 (29)	62 (62)	348 (311)	3270 (2930)	45 (39)	60 (51)
Manchester	3.7 (3.8)	45 (45)	53 (53)	226 (219)	2070 (1980)	62 (59)	38 (39)
Oxford	9.8 (9.8)	29 (29)	61 (61)	531 (488)	5630 (5190)	82 (71)	74 (68)

Fascinating, is it not? Yet even when we have pored over the table for hours, we can still only ask, in relation to the effectiveness of individual library performance, "So what?" Did the university libraries of Manchester and Leeds perform identically in 1985-86 because they both spent 3.7% of their university's funds? And were they *more* or *less* effective in library provision because they both spent a higher proportion than Edinburgh in that year? Was the University of Leeds Library a more effective library than the Bodleian because it spent 43% of its funds on acquisitions instead of Oxford's 29%? Was the Brotherton Library (Leeds) itself suddenly more efficient in 1986 because it spent 4% more of its funds on books and periodicals than it did in the previous year? And is it a sign of good or of bad performance if a librarian spends more than some theoretical norm on books per student? The seven indicators will simply not answer questions like these; nor will they even provide an adequate starting-point for answers to the questions that really matter about the *effectiveness* of our research libraries in meeting their objectives. Academic libraries, like their parent institutions, serve complex multiple objectives, and the value of their operations can only be properly assessed in terms of the effectiveness with which each of these various objectives is achieved. But effectiveness is a notoriously difficult thing to measure in the context of a library; and when the end product is educated people or the pursuit of knowledge, it behooves the statistician to be aware of his limitations. The amount of ink spilt in the last twenty years on the theory of library effectiveness measurement³² contrasts sharply with the relative dearth of practical outcomes, and

³¹ In a private communication to the librarians of the seven CURL libraries, 8 February 1988.

³² See Deborah Goodall's recent review of this voluminous literature: "Performance Measurement: a Historical Perspective." *Journal of Librarianship* 20, no. 2 (April 1988):128-144. Her long list of reference begins with P. M. Morse's *Library Effectiveness*, published back in 1968.

should alert us to the fact that this is a complex and controversial area, fraught with problems and uncertainties. But above all, I believe, in our present search for manageable and meaningful performance indicators, we should remember, as Allred points out,³³ that a library "is not a *simple* marketing activity maximizing the use of resources to meet an unproblematical demand. We do not produce "goods" but we "handle knowledge" for all kinds of purposes".

It is, however, still the case in our major libraries that we cannot yet point to a systematically-applied range of genuine performance indicators of our own. SCONUL itself has recognized this and has recently set up its own Advisory Committee on Performance Indicators.³⁴ We can only wish the committee every success in its difficult task. But I believe most of us would agree that since performance indicators of one kind or another are destined to be introduced in our institutions generally, it is greatly desired that they should be designed to be useful to us for internal management purposes and that they should reflect actual library performance, both relatively and over time.

There is, however, a great deal of existing work on which the Advisory Committee can build. In relation to collection management and development, for example, we already learn much of value about the use of our books from the loans data in our automated issue systems;³⁵ many of us already keep a careful eye on interlibrary loan requests for tell-tale signs of collection deficiencies; many surveys of book availability,³⁶ collection bias, shelf-failure, and document exposure times have taken place in our libraries since the early days of the Library Management Research Unit and Buckland's work under Graham Mackenzie at Lancaster.³⁷ Document delivery times and satisfaction rate—which are used quite extensively by the British Library Document Supply Centre as measures of its own effectiveness—would be a more significant test of a library's performance than all of those currently proposed by the University Grants Committee and the Council of Vice Chancellors and Principals. Even a relatively straightforward monitoring of library usage levels by a micro-computer based system such as ADMIS II, now in use at Newcastle University Library, would be preferable as a raw measure

³³ John Allred, "The Evaluation of Academic Library Services," in *Management Issues in Academic Libraries*, ed. Tim Lomas (London: Rossendale, 1986), p. 25.

³⁴ Graham Mackenzie, the present Honorary Treasurer of SCONUL, has also published a study of the growth of the SCONUL statistical database, in which he has been centrally involved. See *Management Information Systems in Libraries and Information Services*, ed. Colin Harris (London: Taylor Graham, 1987).

³⁵ The University of Sussex Library has recently been carrying out some interesting work in relating loan data to acquisitions policies, in an attempt to improve library performance in basic book provision. Adrian N. Peasgood, "Toward Demand-led Book Acquisitions? Experiences in the University of Sussex Library," *Journal of Librarianship* 18, no. 4 (October 1986):242-56.

³⁶ For some unexplained reason, book availability, originally mentioned in the Jarratt Report in 1983 as a possible library performance indicator, has not apparently been followed up by the CVCP and the UGC. The best recent account of "availability" as a performance measure is given by Don Revill in *Journal of Librarianship* 19, no. 1 (January 1987):14-30, at the conclusion of which Revill recommends joint work between SCONUL and COPOL.

³⁷ Geoffrey Ford's review of in-house research in libraries, "The Framework of Research: In-house Research," in *The Academic Library in Times of Retrenchment*, by Colin Harris and Lesley Gilder (London: Rossendale, 1983), pp. 27-49, is perhaps the most useful survey of what has already been done in these areas.

of a library's usefulness in its community.³⁸

Research Use and Value

The most difficult element of all to assess, however, in terms of the output and performance of a large research library—and this is the element which, by the same token, is the one which would really help us to demonstrate and to improve our effectiveness—is the extent to which any given library facilitates scholarly research, both in quantitative and in qualitative terms. But however do you measure the amount of research which goes on in a library, let alone assess its value to society in general?³⁹ At the 1984 RLG International Conference on Research Library Cooperation, Brenda Moon made an unusual and brave attempt to analyze the different ways in which a research library is used by, and may be made more useful to, the university scholar.⁴⁰ But we are still very far, I suspect, from being able to measure that use, let alone from evaluating its usefulness.⁴¹ We clearly need much more work to be done in this area, and the recent investigation by Pocklington and Finch⁴² into the qualitative effects of the current funding restraints on academics' library use and research methods is still only scratching at the surface of a very important problem. How, or even whether, we can possibly convert that kind of "snapshot" investigation, carried out at someone else's expense, into some kind of standard measure of effectiveness by which we can regularly and conveniently assess the performance of our libraries remains to be seen. Sadly, there is always the danger that we shall find ourselves spending so much time and effort in defining and refining our performance measures in ever more sophisticated ways, that our efficiency may be reduced simply by that very process—we are all, I believe, very conscious already of how much of our resources is put into the mere gathering and compilation of statistics. The difficulty—as SCONUL itself knows only too well—is finding the right balance; for, as Goodall reminds us, "Simple numerical measures which are easy and quick to calculate may give a misleading picture, whilst more detailed approaches tend to be too complex and time consuming to be carried out by library staff as part of their normal routine".⁴³

But when all is said and done, a research library's collections are very much more than

³⁸ See Brian J. Enright and Michael T. Long, "The Monitoring and Assessment of the Use of Libraries: the Northern Regional Library System Acquires ADMIS II," *Library Association Record* 89, no. 6 (June 1987):285-86.

³⁹ Cf. Peter Jackson's revealing comment: "Analysing the impact of public expenditure upon the socio-economic system is the 'holy grail' of performance measurement." "Performance Measurement and Value for Money in the Public Sector: The Issues," in *Performance Measurement in the Public and Private Sectors* (London: CIPFA/ICAS, 1987), p. 17.

⁴⁰ Brenda Moon, "Co-operative Networks and Service to the Scholar," *British Journal of Academic Librarianship* 1, no. 1 (Spring 1986):41-52.

⁴¹ Cf. Stuart Forth: "... few librarians have any real knowledge of how their research resources are used in the stacks." *Journal of Academic Librarianship* 1, 5 (November 1975):10.

⁴² Keith Pocklington and Helen Finch, *Research Collections Under Constraint: The Effect on Researchers. Academics' Perceptions of the Impact of the Research Process of Constraints to Library Budgets. A Qualitative Study* British Library Research Paper 36 (London, 1987).

⁴³ Goodall, "Performance Measurement," p. 140.

simply a response to present users' demands. In its objectives and its resource allocation procedures in collection development, a research library will always need to have due regard not just to present and future use, but also to wider current political, institutional, and professional priorities. I have no idea how these can be assessed now by effectiveness measures; and some aspects of library decision making will always remain a matter of judgement and of individual expertise rather than of statistical measurement, or even of evaluative analysis. I am not ashamed to admit that I stand with those who have an instinctive distrust of statistics in managerial decision making, mainly because numbers can so quickly assume such an aura of accuracy and authority which is often entirely unjustified, and also because they tend to dominate over the more intangible factors (which are sometimes more important). Perhaps R. H. Orr would characterize me as one of those librarians who want to preserve librarianship as an art or a craft rather than allowing it to evolve into an applied science;⁴⁴ but that would be a gross over-simplification of my position. I am not at all averse to the prospect of increasing my library's effectiveness by any reasonable means. But, like Allred,⁴⁵ I maintain that we ought to "keep measurement simple [and] reliable, and we must recognize that its validity is checked in political debate". And I do not mind admitting that the day I am required by my library authorities to implement the sort of measures of effectiveness described by Morse⁴⁶ or, more recently, by Schauer,⁴⁷ is the day I apply for early retirement! Some of us, fortunately, are still allowed the satisfaction of collection building for the future without such serious impediments. But the variable abilities of our great research libraries to do this are part of the rich and diverse quality of our national provision, and I believe that in our right and proper concern for effective performance we ought not to contribute to any levelling-down process of that quality. Many comparisons *are* odious—and none more so than those based on numbers alone; and if we as librarians are not sensitive to the dangers of falling for the mystique of numbers, or accepting the slavish comparison of like with unlike, how can we expect our funding authorities to be any different?

⁴⁴ R. H. Orr, "Measuring the Goodness of Library Services: A General Framework for Considering Quantitative Measures," *Journal of Documentation* 29, no. 3 (September 1973):315-16.

⁴⁵ Allred, "Evaluation of Academic Library Services," p. 26.

⁴⁶ For example, Morse suggests the following equation for calculating the total circulation of a given volume over a ten year period:

$${}^n10 = \frac{10\alpha + \beta R(1)}{1 - \beta} - \frac{\alpha \beta}{(1 - \beta)^2}$$

Philip M. Morse, "Measures of Library Effectiveness," *The Library Quarterly* 42, no. 1 (January 1972):27.

⁴⁷ Schauer tell us, for example, that "the computation for the correlation between circulation and the library's shelflist is $r = 1 - \frac{(6)(40)}{1000 - 10}$."

Bruce P. Schauer, *The Economics of Managing Library Service* (Chicago: American Library Association, 1986), p. 182.

The Unselfish Soul

We come then to consider, at last, the other side of our professional psyche, collection sharing; and in doing so, we are seeking to answer the question as to how, if at all, we can share our collections better without doing violence to our institutional commitments and responsibilities. I asked earlier whether more limited funding was likely to promote or inhibit collection sharing, and I indicated that experience in North America suggested that reducing budgets have tended to draw librarians together there. When I put the same question to the librarians of six of the leading research libraries in the U.K., however, the response was by no means so clear cut. All of them were conscious, of course, that the external demands placed on their collections—already quite considerable—were certain to grow as library resources elsewhere decreased. But two of them also expressed the concern that their own funding reductions might be likely to hinder rather than stimulate their further involvement in cooperative ventures. They may not be typical, of course; but the fact remains that interlibrary cooperation costs money, and as individual institutions are obliged to become more and more cost-conscious there is a dangerous irony in the fact that hard-pressed decision-makers may increasingly come to resent the use of their library resources for the wider public good.⁴⁸ The only way, therefore, of successfully reconciling this conflict between parochialism and external cooperation is to ensure that there are demonstrable and, wherever possible, quantifiable benefits for all the parties involved, so that even though a library may use some of its resources in order to become involved in a cooperative venture, it does not let itself in for a one-way street with no "return" on its investment. Call this an extension of the selfish side of our psyche, if you like, but I believe it is the only realistic principle by which we can seek ways of enhancing our collections together. Even the 1967 Parry Committee—which was actually set up to examine interlibrary cooperation ("to assess how far greater use might with advantage be made of shared facilities"⁴⁹)—recognized this vital restriction on the instinctive unselfishness of the library profession when it spoke about the need "to explore all the means whereby a university library can co-operate with other libraries *without impairing its own efficiency*"⁵⁰ (emphasis mine). And elsewhere in the Report that caveat was made even more explicit by the statement that "co-operation should on no account result in the impoverishment of the individual library".⁵¹

A Review of Cooperative Efforts

The twenty-one years since the Parry Report have seen a whole range of well-intentioned cooperative efforts introduced, some to prosper and thrive, some to founder

⁴⁸ Cf. Richard M. Dougherty: "At the present time we are trapped in a vicious circle. The ideals of cooperation are supported by economic necessity but challenged by political reality." *Resource Sharing Among Research Libraries: How It Ought to Work*, *Collection Management* 9, nos. 2/3 (1987):87.

⁴⁹ University Grants Committee, *Report*, 1967, paragraph 1.

⁵⁰ *Ibid.*, paragraph 36.

⁵¹ *Ibid.*, paragraph 78.

and fail.⁵² A brief review of those efforts related to collection sharing is the most that can be attempted here; but at least it should provide us with an opportunity to identify any areas where greater effort may bring us greater benefits as well as enabling us to fix the outlines of any future agenda for joint activity between research libraries.

It may be helpful, perhaps, to proceed systematically by proposing a categorization of current and potential cooperative activity in collection sharing under three basic headings:

1. Shared stock development or management;
2. Shared access to holdings;
3. Shared information about collections.

Each of these general headings can be broken down further into specific types of collection sharing, and a very brief consideration of examples of these should serve to provoke discussion about their possible impact on our effectiveness in meeting our overall research library objectives.

Shared Stock Development or Management

Shared stock development or management includes cooperative acquisition schemes, planned transfers, cooperative storage, and, more recently, cooperation in preservation of library materials. As far as cooperative acquisition schemes are concerned, we all seem to agree that in spite of their theoretical advantages in coordinating sensible coverage of particular materials on an agreed, shared basis, cooperative acquisition schemes in the U.K. have generally been what Dennis Cox laconically called "a topic for discussion rather than an area for achievement".⁵³ I suspect that the level of altruism required for a library to agree to buy materials not always required for its own local purposes was always unrealistic. How much more so when funds become even shorter.

The development of a fast and efficient national interlending service must also have served to undermine any commitment to local, regional, or specialist cooperative purchasing schemes. As long ago as 1973, Maurice Line prophesied that "in default of a comprehensive central collecting policy, [these schemes] are likely to have much less place in the future".⁵⁴ What he did not, and could not, foresee at that time, however, was the advent of the Conspectus technique and the severity of the funding cuts in research libraries generally. In these changed circumstances, quite a number of librarians now believe that a coordinated

⁵² Dennis Cox provides the most lucid survey: "Cooperation Among University Libraries in the United Kingdom," in *University Library History: An International Review*, ed. James Thompson (London: Bingley, 1980), pp. 170-86. James Thompson and I have identified eleven main types of university library co-operative activity, over half of which directly involve library stock. See: James Thompson and Reg Carr, *An Introduction to University Library Administration*. 4th ed. (London: Bingley, 1987), p. 213.

⁵³ Cox, "Cooperation Among University Libraries," p. 175.

⁵⁴ Maurice B. Line, "Local Acquisitions Policies in a National Context," in *The Art of the Librarian*, ed. A. Jeffreys (Newcastle: Oriel Press, 1973), p. 7.

national approach to research library collecting policy could finally emerge, and Mike Smethurst will no doubt be explaining to us in due course how he sees the role of the Conspectus in all this.⁵⁵ Quite apart from these developments, of course, a number of the very large universities in the U.K. have introduced formal mechanisms for coordinating and rationalizing library collections across their various campuses, and have thereby introduced cooperative acquisitions schemes by another name and in a variety of forms. London University's Library Resources Coordinating Committee is a major example of this, with its Subject Sub-Committees and its various attempts to rationalize the university's collecting policies within the Bloomsbury area. But the financial pressures are now so great in the London situation that the pressing desire to save money seems to me, at least, in danger of overshadowing any real prospect of improving the overall effectiveness of the university's research libraries, and it is not a recipe I would particularly care to see copied elsewhere, even if it could be. But no doubt those who are closest to the problems will have their say in the discussions which follow. Much more likely to emerge, especially where two or more libraries exist in reasonably close proximity, is an increasing tendency for an individual library to adjust its own selection policies in the light of locally-available materials. Depending upon local circumstances, access facilities and the existence of local cooperative groups, these developments may result in increased levels of mutual interdependence of stock at a more or less formal level.⁵⁶

Another aspect of cooperative stock development which is not, however, without its problems is the actual transfer of materials from one library to another; but since most of this is happening in the wake of the UGC's continuing attempts at subject rationalization across the university system as a whole, this is hardly an area in which librarians can be said to have an initiatory role, although where such transfers are achieved successfully, this will clearly have a beneficial effect on the collections of the receiving library. And finally under this heading, the central role of the British Library's Gifts and Exchange section, in redistributing large amounts of library material, can be acknowledged as a valuable contribution to the cooperative sharing of resources, and should serve to remind us that one man's poison is another man's meat.

Cooperative storage does not, I believe, offer us any real prospect of improved effectiveness in library provision for research. The subject, interestingly enough, appeared high on the agenda of the very first SCONUL conference almost forty years ago; yet only the University of London, with its shared depository library at Egham, opened in 1961, has put into practice the voluminous theoretical literature on the subject. Neither London's experience, nor the mixed feelings arising from the various American examples of cooperative storage,⁵⁷ inspires me with any confidence that increased effectiveness would be likely to accrue from shared library stock management of this kind. The only successful example of anything remotely resembling cooperative collection storage that comes to mind is the British Library's microfilm collection of British university doctoral theses, developed since 1970 at Boston Spa—and even that useful scheme has had its problems, although it has undoubtedly facilitated much academic

⁵⁵ Cf., in the meantime, his "Resource Sharing and Conspectus in the British Library," *LIBER News Sheet* 21 (1987):26-30.

⁵⁶ A number of such developments involving university libraries are mentioned in Diana Edmonds' review of local library cooperation: *Current Library Co-operation and Co-ordination* (London: HMSO, 1986). See especially pp. 10-11 and 35-37.

⁵⁷ See Robert H. Muller's useful account: "Toward a National Plan for Cooperative Storage and Retention of Little-used Library Materials," in *Resource Sharing in Libraries*, ed. Allen Kent. (New York: Marcel Dekker, 1974), pp. 119-28.

research. It has not, of course, led to the disposal of any originals by the participating libraries.

But most recently of all, the British Library in particular has been advocating a cooperative approach to the massive problem of the preservation of research library materials; and again, Mike Smethurst will no doubt be telling us about the British Library's National Register of Microform Masters and of the Library's hopes for the contribution of the Conspectus approach to cooperative preservation planning. The CURL librarians have also agreed, in principle at least, that it would be advantageous for preservation information to be included if at all possible in the Consortium's emerging database of machine-readable catalog records. This latter point highlights the fact that, as David Clements recently told a joint SCONUL/UCR meeting, "in any form of shared preservation whether by microfilming or by division of national responsibility for collection and preserving, it will be essential to ensure that appropriate bibliographic records are both available and widely accessible".⁵⁸

Shared Access to Holdings

Access to holdings, whether by moving books to people or people to books, is an aspect of collection sharing which has a long and creditable history in research libraries in the U.K., and it is arguable whether much more can be done to squeeze a few more drops of effectiveness out of existing resources. In the responses to a question about shared access in my small survey of our major university research libraries, the large number of external readers were a constant theme, bearing witness to the enormous regional and national input which our university libraries make over and above their institutional role. The contribution of materials by way of loan to scholarly exhibitions; and, of course, the considerable volume of support for the nation's interlibrary lending services were also mentioned as part of the research libraries' role in promoting shared access to their collections.

Shared access, therefore, it seems to me, falls more or less into two distinct parts: the admission of outside readers in person to the library itself, whether generally for consultation purposes or by reciprocal agreement between institutions; and the participation in interlibrary loan schemes, whether by the supply of originals or of reprographically or electronically produced copies. SCONUL itself has done much to facilitate the former, by bringing research libraries into dialogue about reciprocal privileges for readers; and the British Library has hitherto played an outstandingly effective role in the latter, by developing an interlending facility that is the envy of most of the world.

There is not time here to do more than simply refer to the LISC concept of the local Library and Information Plan—the bottom-up approach to library resource coordination; but it is worth a mention in passing under the heading of shared access because it offers the prospect at least of giving added impetus to collection sharing, by improved personal access to libraries at the local level; and it will be interesting to watch the practical outcomes of the various plans currently being developed, since many of them will involve one or more university libraries.⁵⁹ Cooperation, after all, has been defined as the "voluntary exchange of goods and services

⁵⁸ Quoted from a printed summary handed out at the Spring 1988 Exeter conference at which David Clements spoke on "Preservation and Collection Management."

⁵⁹ I have recently explored the likely implications of the LIP concept for academic libraries in *Library and Information Plans: The Wider Dimension* (Stamford: Capital Planning Information Ltd., 1988), pp. 48-57.

between individuals employed in formal organizations",⁶⁰ and that is precisely what the LIP concept envisages, even to the extent of encouraging contractual arrangements for revenue-generating services. If there are genuine economic benefits to be obtained by the more extensive (and more intensive) use of existing research collections, our libraries would be foolish to ignore them, since they could contribute, even if only marginally, to our overall effectiveness.⁶¹

The same might be true also of the sort of cooperative library ventures between the public and the private sector envisaged in the 1987 PUPLIS Report on joint enterprise. The report noted that "university libraries are also beginning to develop links with local industry and commerce, particularly where they are proximate to a science park, and to make their resources available on a fee basis to outside users". But SCONUL itself sounded an appropriate note of caution here with its observation that "supplementary financial recognition of this contribution might well be a persuasive factor in extending such arrangements".⁶² If the Minister for the Arts could be persuaded to extend his recent pump-priming initiative for joint enterprise from the public library into the academic library sector, it might help some of us to get new initiatives off the ground.

As far as interlibrary lending is concerned, we all recognize that our access to "shared collections" at national level now depends crucially upon the role of the British Library; and no doubt we would all wish to do what we can to promote any possible further improvements to the Library's present services to us. When I consider my own library's relatively large collections (just over 2 million items), I am still obliged to recognize that it holds only about 6% of the 30 million unique titles published since Gutenberg and that, even with 8,000 current journal subscriptions, it only takes 8% of the world's annual published periodicals output. And those percentage holdings figures seem destined to shrink from year to year, such is the prodigious output of the publishing industry. Interlibrary loan is therefore bound to remain the chief means of providing my research users with a means of access to a wider world of information that I can ever provide locally.

This does not mean, however, that I wish actively to promote a falling level of "self-sufficiency" in my library—quite the contrary; merely that, given that 100% self-sufficiency is impossible to achieve, I regard it as part of my library's role to provide access to remotely-held library sources as efficiently as possible.⁶³ The "holdings" *versus* "access" debate has not yet, in my view, been based on sufficiently refined data to convince me that it is

⁶⁰ Michael M. Reynolds, "Library Co-operation: The Ideal and the Reality," *College & Research Libraries* 35, no. 6 (November 1974):427.

⁶¹ It is perhaps still too early to know whether David Baker's pessimistic comment on the LIP concept will be proved right: "In the final analysis, central government—and central government only—can make high level co-operation work." In *British Journal of Academic Librarianship* 1, no. 3 (Winter 1986):242.

⁶² Office of Arts and Leisure, *Joint Enterprises*, p. 23.

⁶³ In an annex to the Parry Report, D. J. Urquhart proposed the adoption by the university library system of standards of self-sufficiency which might vary from 80 to 95% dependent on the subject area, type of material, and category of user. Urquhart saw this as a means of indicating "what part of the library services needed attention" and of helping librarians to "measure how successful they are." University Grants Committee, *Report*, pp. 280-81.

particularly effective to rely increasingly on interlibrary loans.⁶⁴ If all the associated factors—including academics' time and the quality of research output—were included in the equation, what would be the "ideal" level of self-sufficiency for any given library system? Has anyone given any attention to the *qualitative* aspects of falling self-sufficiency levels in university libraries since Roberts and Bull drew attention to the problem over a decade ago?⁶⁵

In the absence of such information, how can we in the meantime help to improve our effectiveness by shared interlending? In the American context, Dougherty⁶⁶ suggests that interlibrary loans have too often been used as an easy substitute for collecting core research materials. He sees this approach leading to a dangerous overloading of the system, and proposes that the research library community should "undertake to identify the categories of materials essential to resource sharing among libraries"—by which he means only obscure journals, specialized monographs, dissertations and "grey" literature. He takes the view that "rationalized interlending among research libraries could be facilitated if each library carefully analyzed the dynamics of its current borrowing activity, specifically what categories of publication are currently borrowed and for what purposes are they sought". It would certainly be interesting to know what our American colleagues, with their very different inter-lending mechanisms from ours, think of Dougherty's suggestions. It would be even more interesting for us to hear the British Library's view, although I suspect we can all guess what it might be. If the suggestion were applied in the British context, would the limitation of ILL requests to those categories which Dougherty outlines actually have much of an effect on the number of requests going to BLDSC? And if it did reduce the overall numbers, how quickly would that reduction affect unit costs and lead to inevitable price rises? The U.K. research library situation is very different from the American scene in this area of shared access, and it would be important to know before we embarked on such a scheme whether the price-sensitivity of the U.K. ILL market would lead to a downward spiral in BLDSC's activities. For if it did, who would be the gainers? Certainly not those pursuing university research. Have we therefore already reached the optimum system in this country, or will it change over time in any event? Well, quite apart from the uncertain effects of Dougherty's scheme for refining the "quality," as it were, of interlibrary loan requests, U.K. research libraries are currently being exercised by the possible outcome of the Arts Minister's 'Green Paper' proposals on public library finance.⁶⁷ If, as SCONUL and others fear, "economic", or "full cost" charges became the norm for all interlibrary loans in the public library sector, this would undoubtedly have an inhibiting effect on the present pattern of provision, and any existing cost-effectiveness would be seriously undermined. The Document Supply Centre might become less attractive to university libraries, and an

⁶⁴ Cf. Michael D. Cooper: "... the economic significance of eliminating duplicate holdings, making fewer purchases of new materials, and sharing resources by means of inter-library lending and other systems is not clear." "Economic Issues and Trends in Academic Libraries," in Cummings, *Economics of Research Libraries*, p. 151.

⁶⁵ Norman Roberts and Gillian Bull, "Some Implications of the Trend in External Borrowing by University Libraries, 1960/61-1972/73," *Journal of Librarianship* 8, no. 3 (July 1976)153-65. One of their most telling sentences is: "The argument for libraries in higher education is about quality or it is about nothing."

⁶⁶ Dougherty, "Research Sharing Among Research Libraries."

⁶⁷ *Financing Our Public Library Services: Four Subjects for Debate; a Consultative paper* (London: HMSO, 1988).

important part of shared national library provision for research could be threatened. Though the position is as yet still unclear, it is one which we need to discuss and to keep under review, since our national interlending facility in its present form is so valuable to us all. We need it to be more effective, not less.

Shared Information about Collections

If shared stock development and shared access to holdings seem to hold out one or two hopeful areas for increased effectiveness in achieving our objectives, there is a great deal for us to work towards under the heading of shared information about collections. The development of bibliographic control and technical resources to support external information access has long been seen as one of the basic tasks of libraries. Over the years, printed union catalogs of specialist materials, lists of serials, the development of common cataloging rules and other bibliographic standards have slowly, and often painfully, made information about library holdings more widely and conveniently available to scholars in their research, and libraries have thereby gradually become more effective in their exploitation of their collections. In the last twenty years, however, and especially in the recent past, the advent of information technology—the application of the machine (and particularly the computer) to the storage, processing and transfer of information—has radically transformed the research library scene. The conversion to machine-readable form of library catalog data on a massive scale—so much of it in a standard format—and the introduction of local and wide area computer networks throughout the U.K. university system have provided research libraries with opportunities undreamed of in the past. It is, of course, a great irony that funding cutbacks have occurred just at the time when a quantum leap in service could be made with appropriate investment in the available technology; but I venture to suggest that we have only just begun to scratch the surface of the possibilities for increasing our effectiveness at sharing information about our holdings by means of automated networks.⁶⁸

The establishment, in 1984, of the Joint Academic Network (JANET) in the universities has made it possible for all libraries directly linked by computer to their own local institutional computing service to communicate with other library databases on the wider network as well as to share information on their holdings with users remote from their own four walls. With the British Library itself now linked to the system, the opportunities for cooperative exchange of cataloging and other data are just beginning to open up.⁶⁹

To take the fullest advantage of these developments, it is now an urgent requirement for as many of us as possible to produce our catalogs in machine-readable form. Derek Law,⁷⁰

⁶⁸ The report of the 1984 Seminar on the Impact of Information Technology on Academic Libraries and Library Networks, published by Edinburgh University Library in 1986, gives us some fascinating insights into the current and future impact of the developing technology on library information handling and dissemination.

⁶⁹ One of the most potentially far-reaching developments is the recent establishment, by the Librarians of the six U.K. copyright deposit libraries (three university libraries and the three national libraries), of a cooperative program for current cataloging.

⁷⁰ Derek Law, "The State of Retroconversion in the United Kingdom: A Review," *Journal of Librarianship* 20, no. 2 (April 1988):81-93.

and Peter Hoare⁷¹ before him, have only recently surveyed the situation regarding retrospective conversion in U.K. libraries, and warning notes have been sounded about the size of the task, its cost, and the problems likely to be encountered along the way. Yet there are undoubtedly rich rewards to be reaped, and there can be no longer any doubt that information technology, properly harnessed, is the key to any further real progress in collection sharing. Keen to exploit this on a nationwide scale, the Consortium of University Research Libraries is pressing ahead with the creation of its own distributed database of machine-readable records for catalog access and ultimately, for record sharing across the U.K. university community as a whole. Funded initially by a grant from a charitable trust and subsequently by UGC funds, the pilot project phase is now on course to establish the kind of shared facility that is necessary to make retrospective catalog conversion a manageable prospect for university libraries of every shape and size.

That such electronic communications links are vital to the enhanced performance of research libraries today was clearly recognized by the distinguished participants at a Forum on the Future of a National Database held in Coventry in January of this year. The meeting agreed that "there was a need to consider and plan a national strategy for networking."⁷² In recent time, too, and on an even bigger stage, the Committee of Ministers of the Council of Europe has adopted a recommendation calling on the national authorities of member countries to "facilitate . . . exchange [of] bibliographic and documentary data available in national, university and other libraries", to "promote interconnection and data transfer between the catalogues and bibliographic databases in their national territories and those in other national territories", and to "encourage all efforts to achieve cataloguing of all existing library resources".⁷³ Would it be too optimistic of us to join in the euphoria of these grandiose designs and, with the prospect of information technology to help us increase our effectiveness for collection sharing, to say with John Wesley that we can now "look upon all the world as [our] parish"? Scholarship, after all, is not bound by institutional or geographical borders, and there is now no good reason why our research libraries should be either. Even if funds remain inadequate, and even if our schizophrenia returns from time to time, there will still be much that we can and should be doing.

⁷¹ Peter A. Hoare, "Retrospective Catalogue Conversion in British University Libraries," *British Journal of Academic Librarianship* 1, no. 2 (1986):95-131.

⁷² Quoted from a report on the Forum published jointly by the MARC Users Group and the Library Association.

⁷³ Quoted from a "Note for the record" drafted by Peter Lewis and circulated to SCONUL representatives for the Spring 1988 Conference of SCONUL.

GRAHAM R. HILL

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Funding, Buying, and Sharing: Natural Sequence, or Unnatural Acts

I hope that you have not developed the wrong expectations from the caption for my remarks; I was merely making use of an idea that Auberon Waugh had a couple of years ago to encourage booksellers as well as news agents to stock *The Literary Review*. He decided to put the word "SEX" in capital letters on the cover of every issue, regardless of its contents.

The principal difficulty that I face in addressing the topic of this morning's session is that I hate the word "sharing." "Giving" and "taking" have the solid ring of purposeful action about them, but "sharing" is a woolly kind of word that I associate with psychoanalysts, social workers, and others of the so-called "helping professions." It is the kind of word that holds the hidden promise of help and comfort that is seldom fulfilled. I also have a strong antipathy for the word "effectiveness," because it is generally much liked by auditors, whose job—as we all know—is to enter the field when the battle is over and bayonet the wounded.

The present environment of limited funding is a given in this morning's session, and it is important to recognize not only that the funding of research libraries has never been limitless, but also that our fundamental condition is one of financial austerity. The appreciable growth and expansion that characterized North American universities in the 1960s is now widely regarded as an aberration, and there is active debate as to whether the consequences of that decade of development were wholly beneficial. The greatly increased flow of funding enabled lots of little libraries to become lots of bigger libraries, but at the state, provincial, and even national levels there were those who were quick to point out that in order to win a high jump competition, it was necessary to have one person who could jump eight feet, not eight people who could jump one foot each.

Before the buying and cooperative use of library materials can be considered, it is necessary to consider the funding of research libraries, which is the obvious prerequisite for both of these activities.

The funding of higher education in North America over the past decade has been characterized by an interesting antithesis. On the one hand, there is the notion that too much money is wasted in higher education, and on the other is the view that the universities and their libraries are badly underfunded. The currency of the former notion can be traced largely to the private sector, and it has recently been challenged to some effect by aggressive information campaigns conducted by the various associations of universities and by the universities themselves. Program duplication, declining standards, and irrelevance to the post-industrial

society have been the three mainstays of the assertion of waste. The funding of higher education is a vastly complex matter, and cannot be considered without recognition of the multitude of interrelationships that constitute the environment. The academic libraries, which play a leading role in the support of teaching and research, have suffered repeated standfast or reduced funding for more than a decade. The relief that may have been provided in the odd year to some institutions and libraries does not, in my opinion, offset the general pattern. Such an extended period of reduced funding has an important implication for research library collections and operations. To maintain necessary quality, we attempt to describe options, and rather than resort to across-the-board cuts, attempt to establish priorities and to make budget cuts selectively, so that the good might prosper, and the indifferent or irrelevant might be discontinued, or at least diminished.

There are two significant problems with this strategy, however: first, we have long ago ceased to employ indifferent people, offer poor service, or buy books we could do without, and we must now choose among equally unpalatable alternatives; and second, if we are to operate our libraries rationally, with proper regard for its staff and services, the information and data requirements of a selective-reduction policy are very high, demanding not only a great deal of work from an already over-burdened staff, but also clear and thoughtful long-range plans at an institutional level.

In tackling both of these problems, it becomes immediately apparent that time is both an important dimension and an expensive commodity if decision making is to result from the traditional collegial process.

In pursuing a selective reallocation strategy, one also realizes how difficult it is to achieve a workable balance between autocratic and consultative styles of management. Given the collegial process and the increasing unionization of many library staffs, it has become almost impossible to achieve what experience and common sense tells us needs to be done. I have almost given up the struggle, and faced with the notoriously long-winded process of consultation and the occasionally Byzantine processes of our institution, am ready to admit that my management style might best be described as "failed consultative."

The driving force for the Seminar on the Economics of Research Libraries was recognition of the fact that the degree of our success or failure as research library directors will depend largely on knowing exactly how we use our funding, justifying how we use it, and on the effective reallocation of those funds in a fast-changing and ever more costly environment. Few of us could say truthfully that we already have at our fingertips comprehensive and useful management information on the costs of all facets of our operations. Likewise, all too little is known or communicated about the process whereby research libraries obtain their budget allocation for acquisitions. I suspect that generally the acquisitions budget has been treated over the years as part and parcel of the library's operating budget, and perhaps that has been a disadvantage.

In the earlier years of expansion, budget hearings within the university were at best a formality, and as we passed into more stringent economic times, many libraries were able to persuade their senior officers that library acquisitions should be treated like heating and power as expenditures for which cost increases were unavoidable. It would simply cost more and more money to buy the same number of books and journals. As funds continued to wither, the concept of "unavoidables" came in for closer scrutiny, and the obvious conclusion was drawn that costs could be reduced if fewer books were bought. Demonstrable and compelling evidence of potential damage or decline in collection quality is both difficult and costly to produce, and statements about quality demand sophisticated judgments, not simply quantitative measurement.

Those who would advocate increasing staff to cope with burgeoning workloads, or request a multi-million dollar commitment to technology, can often secure the eloquent support of influential colleagues. These fair-weather friends can graphically describe the dreadful misuse of their expensive time when they must queue at the circulation desk, or what could be done with the latest software development, or if all else fails, make a direct appeal to the institutional ego by reference to a peer institution that was funded for such a development two years previously.

The acquisitions budget request, on the other hand, is neither dazzling nor sexy, and support tends to come from a fairly well-defined group of the faculty. Support from this segment is always in danger of erosion, and we must not put it further at risk by a reliance on jaded rhetoric that will provoke a conditioned and recognizable response. We must also critically examine the extent to which administrative and bureaucratic imperatives or traditions facilitate or hobble the achievement of adequate funds for acquisitions.

First, I believe that the acquisitions budget must be allocated by the university in such a way that the powers-that-be cannot throw back at the library the familiar choice among books, staff, and technology. The library alone should not be expected to save the university from the consequences of a past history of unwise commitments, unrealistic aspirations, and collective and individual self-interest. The acquisitions budget is vital to the whole academic enterprise, and the university must be seen to state clearly the extent to which it is willing and able to fund the purchase of library materials. Giving the library the option to transfer funds or unanticipated savings into the acquisitions budget is a Trojan horse tactic that should be rejected. The dispensation to use salary savings to augment an inadequate acquisitions budget is essentially an invitation to eat yourself. It is my view that the acquisitions budget should be absolutely segregated from all other library funding, and regarded as sacrosanct.

Second, the acquisitions budget request must be thorough, concise, and most importantly, current. A collage assembled from a copy of last year's budget with a few figures changed is likely to get short shrift from a competent administration, and an incompetent administration will cut the book budget anyway. We must constantly revise and re-invigorate the statement of need. In my experience, many senior collections librarians and expert bibliographers lack the necessary analytical, financial, and sometimes even the writing skills to develop a strong acquisitions budget request, and we must find the means to make good these deficiencies.

Third, it is my opinion that there is no formula that will predict the extent of funding that is needed to sustain and develop the collections of a leading research library, nor, indeed, of any library of significance. A few institutional formulas have been devised over the years, based on factors such as the number of faculty, the number of students, the number of graduate programs, and so on, but I am not aware of good evidence to suggest that libraries which use such formulas are more effective in developing collections to support the academic work of the university than those libraries which do not use them.

Unless there are radical shifts or new developments in the academic programs of the university, most large research libraries will find a fairly stable historical pattern in the expenditure of funds in support of the various disciplines. The dramatic escalation of journal costs in recent years has tended to alter these patterns, but these distortions can be monitored through a good serials management information system.

Buying books, journals, and other library materials is the natural consequence of obtaining funding. The first question that must be asked is whether or to what degree the acquisitions budget is actually spent on library materials.

Notwithstanding the admonitions of state and provincial auditors, I have heard some

pretty ingenious and sometimes specious arguments to justify the use of money allocated to buy books for the purchase of all manner of things. Some are even proud of these arguments! Binding costs and storage boxes are often charged against the book budget, but I have yet to meet someone who learned very much from a buckram box. Do Wei-To solution and other preservation supplies also come out of the book budget? How about computer-assisted reference services? Another popular item is interlending transaction charges. Some of these things may be legitimate, but where do we draw the line? Could a case be made for the purchase of a CD-ROM player from the acquisitions budget? It certainly enables access to information, and if a data disk is kept in it, it can also be regarded as a surrogate binding! In my view, when we are entreated by our staff because of inadequacies in other budget areas to use book funds to buy, for example, security strips to protect books, we should follow the advice of the Second Apparition to Macbeth: "Be bloody, bold, and resolute." Say "no." Use book funds only for the acquisition of knowledge resources, if only because enough guppies can eat a treasury.

Our primary task is to maintain and develop our collections, and I sense that the commitment to this responsibility is eroding for reasons other than the lack of institutional will. While recognizing the fragility of our association's statistics, the expenditure figures show that ten years ago, the university libraries spent an average of 30% of their total funding on acquisitions. Today, this figure has increased by a modest 2%, while in the same period, expenditures for salaries and wages have decreased from 58% to 52%. However, I strongly suspect that about 4% of this decrease in staffing costs was effectively transferred to automation expenditures. Thus, some may derive comfort from the slight proportional increase in acquisitions spending, and corresponding decrease in staffing expenditures. But look at the complement and book-stock figures for the last decade. The 94 university library members of ARL reported in 1977-78 a grand total of 27,883 FTE staff. Today, these same libraries report a staffing figure of 30,976 FTE—an increase of 11%. The total annual net volume additions in 1977 were 7.5 million, but only 6.73 million in 1987—a decrease of 6%. The establishment statistics clearly show that we now have more staff, and buy fewer books.

Any priority for increasing the effectiveness of the money we spend on materials must surely at the present time focus first on the management of our journal collections. There has been an explosive growth in both the number and cost of academic journals over the past twenty years, or so. Disciplines have divided, sub-divided, and coalesced, and highly specialized or transdisciplinary journals have been started. There are many who consider that much of this highly-specialized publishing is unnecessary in terms of fundamentally new knowledge that is contributed to the discipline, but the fact is that many of these journals continue to publish.

In addition to this volume growth, the cost of academic journals has risen dramatically in recent years, and the year-to-year rise has been significantly greater than the increases in both university funding and the Consumer Price Index.

The 1986-87 *ARL Statistics* show that the median expenditures for serials by ARL's 106 university library members were 18.2% higher than in the previous year, while the number of titles received grew by only 2%. Over the past ten years, median serials expenditures have averaged an 11.6% increase each year, while the number of current serial titles received an increased average of only 1.2 % per year.

These sustained cost increases find research institutions largely unprepared and sometimes incapable of supporting the acquisition of important journal literature, and therefore libraries are regularly undertaking systematic programs to reduce their journal lists. Such programs are usually accompanied by some encouragement to shift from a focus on "ownership"

to a focus on "access," and partial solutions to the control of escalating costs have been found in local, regional, and even national resource-sharing efforts. Some useful local and regional arrangements have developed with improved document delivery systems, and telefacsimile technology is further enabling such developments.

But the fact remains that a leading research library must hold—and continue to hold—a wide spectrum of major journals while there is no indication that the high level of cost increase will abate in the foreseeable future. Strategies for responding to these circumstances are limited, and the options involve hard choices. Solutions commonly tried have included: cancelling duplicate subscriptions; using funds for the purchase of other types of material to cover the shortfall in the serials budget; sacrificing adequate levels of staffing; and instituting a "freeze" on new subscriptions. Other strategies pursued in various regions and constituencies have included petitioning the publishers directly; lodging complaints under appropriate trade legislation in an attempt to derail the gouging practices of the publishers; and the increased use of consortia or groupings, both for the sharing of journals and for the quiet negotiation of bulk purchasing discounts. None of these solutions, even when taken together, can be said to have solved the problem. We must accept that journal pricing is market-based, and while it continues to be so, the libraries as purchasers, but not as conventional customers, will remain relatively impotent. We must also take into account the irony that as we work to obtain the money to pay inflated subscription prices, we confirm the publishers' view that their market has virtually no resistance.

The cancellation of serials subscriptions—even titles unique in a library system—has become a routine or continuing activity in nearly all academic libraries over the last decade, and many of have been exasperated as we were called upon to respond to faculty demands for retention based solely on arguments from tradition and selfish convenience. Perhaps our discomfort was made no easier to bear from the realization that the periodic culling of journal lists is a salutary and necessary activity, which should not have been neglected until financial exigency obliged us to act. An effective journal management program should flow from the current collection development policy, and in the present economic climate it will have four objectives:

1. to maintain complete files of certain core journals (almost regardless of cost);
2. to maintain as complete files as possible of a large number of journals to which immediate access is essential or highly desirable;
3. to eliminate journals that no longer represent "value-for-money" because they are judged to be no longer supporting current academic programs and emphases (either because the journal has changed its focus, or the program has changed in direction); and
4. to maintain an adequate capacity for the purchase of new journals, together with a routine "sunset" mechanism that requires a specific decision in order to continue a new subscription beyond the first year. (It has never ceased to amaze me that subscriptions started years ago at the request of a single researcher now require the approval of a whole Faculty to cancel.)

I now turn to my favorite word: sharing. Forty years ago, during a radio broadcast of *The Brains Trust*, Bertrand Russell observed that he had been taught that "to hold an opinion" declined as an irregular verb:

I am firm
You are obstinate
He is a pig-headed fool.

Those who are cynics might observe that "to share" has a similar irregular declension:

I share
You exploit
He is a parasite.

They would also dispute that sharing is a natural consequence of buying. The proposition that there is a symbiotic relationship between the two activities of developing research collections and using them as resources held in common needs careful probing.

The terms we use need some attention. I do not use "resource sharing" and "cooperative collection management" as synonyms for the same activity, but the literature shows that a variety of usages and meanings are possible. For some, "resource sharing" means interlending and nothing more; others use the term to refer to the few well-known and highly successful models of cooperative effort, such as the Center for Research Libraries in Chicago, or the regional collection development agreements at libraries in close proximity like Duke University and the University of North Carolina, University of California at Berkeley and Stanford University, or the University of Michigan and Michigan State University. Some use "cooperative collection management" to refer these kind of arrangements, and yet others use the term generically to cover all resource relationships pursued by one library with any other.

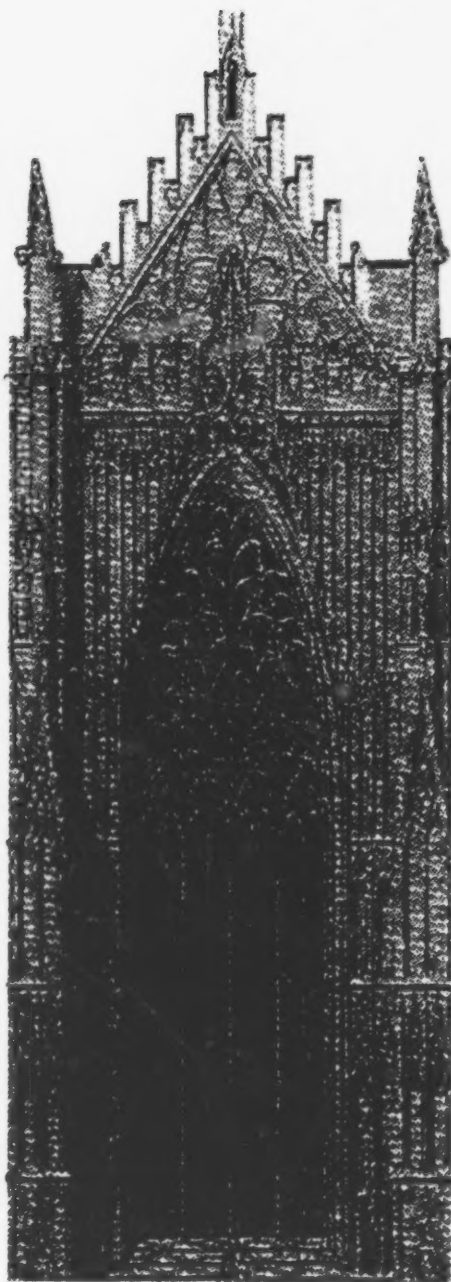
Whatever meaning of these terms is intended or understood, they have entered the jargon of librarianship just as surely as the dominant research library dictum of the 1980s, which has been, "access, not ownership." But no cliché, however apposite, can be offered as the simple answer to a complex set of problems.

It is now widely accepted that the goal of collections self-sufficiency is both unrealistic and unattainable, even by the largest research library, but this recognition did not always come easily, and nor, in my opinion, should it have, for the rising tide of bibliographic socialism could easily have caused the threshold of self-sufficiency to be set too low. There are fortunately some who still maintain a healthy cynicism for phrases such as "role differentiation" and "resource network." The idea of sharing implies not only the notion of reciprocal benefit, but also the prerequisite that each institution doing the sharing has something worth sharing. There are some libraries of my acquaintance which were so fully seized of the dictum of access that they now possess a dazzling array of tools and gadgetry that will tell them from which library to borrow the books and journals they need, and which they may well have been able to buy with the funds that they spent on those access tools. They have the timetables, and quite possibly the tracks, but they do not have the trains.

I believe it was Winston Churchill who once observed that the reason that academic politics were so vicious was that the stakes were so low. Not anymore. The stakes have been raised as the various levels of government and the public-at-large make increasing demands for proof of effectiveness. Our universities, in turn, demand it of their libraries. We must fully

understand what is meant by effectiveness. It is not a single, indivisible concept, and it contains subjective elements that change with time and perspective. When we make judgements about effectiveness, we must weigh, multiple, competing, and sometimes mutually exclusive objectives and conflicting measures. We must decide on the attributes of effectiveness in resource sharing, and always be conscious that the faculty and students whom we serve may not accept them. As academic library administrators, we must judge cooperative collection management in terms of relevance, appropriateness, the achievement of intended results, acceptance, and, most importantly, cost. Only if these judgments are made carefully and honestly can we hope to regularize the verb "to share," so that we can work towards some general agreement on the declension:

I share resources
You share the load
We all benefit.



Session III

how can local and national
collection development policies
be linked with each other
and related to international
preservation responsibilities?

Speakers:

James F. Govan
University of North Carolina

Michael Smethurst
British Library Humanities and
Social Sciences Division

JAMES F. GOVAN

University Librarian
University of North Carolina

As I thought about the topic of this session, I was reminded of that old chestnut about the aged carpenter who was asked to what he owed his longevity. After thinking a moment, he said that it was probably due to the fact that when his mouth was full of nails, he never inhaled. In some obscure way, that reminds me of librarianship, perhaps because we are acclimated to a sense of completeness and fullness. We are always trying to fill the last issue in a run of periodicals, or find the book that is missing from the shelves, and yet, it is a task that we know will never be completed. If it were, we would be out of work.

In a sense, the source of our livelihood is also the source of our greatest frustration. This topic brings that idea to mind because it expresses a number of expectations that I believe simply are not susceptible to realization.

We have this compunction for completeness, and yet, we live in a world of lacunae. The topic implies a level of precision that we cannot possibly achieve. The problem is much too massive when one considers an imperfect knowledge of what is being collected, what is being preserved, and so on. At best, we are facing a portion of a totality in both areas of collection development and preservation. Western book production, as we all know, represents only a minority of world book production, and even within western book production, we are talking about preserving only a small portion. We have indication that something like 70 million volumes are endangered, and with luck and alacrity, we hope to save three million. While we think in terms of completeness and absolutes, we deal with relativity and imperfection.

Beyond that, one wonders if collecting and preserving can be married in this way to any good purpose, particularly if you are talking about more than a single library. If we try to bring those two things together in a national or international arena, it seems to me that we make what is already an impossible task almost unapproachable. Once again, the question implies, in concept, a neatness about this situation that simply does not exist.

Finally, are there any benefits to attempting to link these two? I am not sure that there are. My own feeling is that to attempt coordination between them, particularly internationally, as well as within each, needlessly complicates two already-immensely complex challenges. We can easily jeopardize the entire effort by struggling with such abstractions, rather than getting on with what needs to be done.

Since the emphasis in the rest of the program has been on collection development, I would like to spend my time on preservation. Specifically, preservation microfilming, which I realize is not quite as prominent here as it is in North America.

Within that undertaking, there will undoubtedly be a wide variety of roles played by individual libraries. The goal that all of us should keep in mind for public funding is the communal result, not the parochial interest of a single library. We have neither time nor sources to indulge that kind of local pride. Of course, the filming of a certain number of special, sometimes local collections, will be publicly funded. I remind you of the statement in

the film, "Slow Fires," that I hope some of you here in the United Kingdom have had an opportunity to see.

Preservation is for the ordinary. What we need is to film the widest possible sample of our publications of the last 150 years.

Some libraries may feel chagrined that they are not a major recipient of public grants for this purpose. It is an interesting that in this instance, collecting and preservation really go in two different directions. The collecting side of things would emphasize those libraries today have the largest acquisition programs. Whether you participate in a central way in the preservation program really depends on what your acquisitions program has been over the last 100 years. Very frequently, those are not the same libraries, so that the criteria are different. Therefore, once again, to try to link them seems to me to force the situation into unnecessary, artificial complexity.

What we need is to film the widest possible sample, and that means going to the oldest and most comprehensive collections in the country. Here again, I am speaking, obviously, of the United States, but the same principle, it would seem to me, will pertain in the United Kingdom, when microfilming becomes a major concern.

Some libraries may be chagrined that they are not included in this effort of preservation in a central way. I believe that that is a mistaken notion. We should remember that an integral part of the effort will be in the dissemination of copies, at cost to all of us, of titles filmed in the oldest and most comprehensive collections. Those libraries that are not given grants directly, may indeed benefit materially by virtue of the fact that those who receive those grants must commit themselves to the provision of copies at cost.

When you think, for example, that the collections at Yale, Harvard, and so forth, will, in fact, provide film that the rest of us may obtain—this is the access part of the preservation effort—there is indeed a payoff for the whole country that we should keep prominently in mind.

The prospect of being able to obtain these presently unavailable titles so cheaply should make all of us in the medium-sized libraries begin to salivate. We ought to be pleased that the effort is being made to benefit us, rather than feeling left out that we are not one of the major filmers. Moreover, those who feel left out, should reflect on the costs in staff, uncovered expenses, and inconvenience that the recapture and production on film of this vast literature will impose. I can tell you that many of the large libraries who are involved, or will be involved, see this as a mixed blessing. They do not see themselves as being chosen as a special privileged group, altogether.

In this regard, I would like for you to read a document by Patricia Battin, President of the Commission on Preservation and Access (CPA), entitled "A Coordinated Preservation Program." It is a statement she made, on behalf of ARL and the National Humanities Alliance, on March 17, 1988, before the U. S. House of Representatives Committee on Appropriations Subcommittee on Interior and Related Agencies. I believe the statement deals with all the issues involved in a very even-handed, balanced way, while at the same time, answering a number of the questions that some of you have already raised. Excerpts from the statement were reprinted in the CPA newsletter¹ and the statement itself is available from the commission.

¹ "[Excerpts from Patricia Battin's testimony in behalf of increased funding for the National Endowment for the Humanities before a House Appropriations Subcommittee]," *Commission on Preservation and Access* (July 1988):1. See also "Battin on Preservation [excerpts from the testimony . . .]" *Library Journal* 113 (October 1, 1988):24.

I hope, if you get a chance, you will read it; it is excellent.

There is also the issue of international preservation. Here, I think we are in even foggier territory. The conference held at the National Library of Austria in Vienna, April 7-8, 1986², informed some of us in America in a way that we had not been before. Of course, Dr. Ratcliffe's report on Great Britain³—though now it is a few years old—was very instructive, too.

We know very little about the preservation efforts going on in other countries. That seems to me one thing that we should overcome immediately, so that we will all have some sense of where other countries are. Something must begin to take place on this level, if preservation is going to mean anything at all. As I said at the beginning of my talk, when you think of just the Western European and North American countries, you must then consider the rest of the world—where is most of the activity needed? So far, we have done very little about preservation of research materials in the Third World. IFLA has had a few runs at it, I believe, but there has been more talk, as in everything, than there has been activity. That is an issue, too, that we need to address fairly soon. It seems to me that this issue can best be addressed through professional associations, and I suspect in the end, IFLA is going to have to spearhead most of that effort.

There is a wide variety of circumstances—both in terms of capability of microfilming, and in terms of climate conditions, and status of the conditions. If you have not read the transcript of that conference in Vienna, which covers libraries around the world, I would urge you to do so, simply because all of these complex problems are brought to the floor dramatically by librarians from these different countries.

We have a major problem here. Not much time, and not nearly enough money. So we need to turn our best thoughts to this. It strikes me that this is an issue that is equally as important as the ones we have been dealing with in terms of collection development. We are dealing here, in a sense, with collection development in the past, and if we lose this heritage, whatever we do from this point on, in terms of selecting and acquiring materials, is going to be only a partial solution to the problem.

The embarrassing fact is, even at this late date, we seriously lack the information we need to make the decisions we need to make. Therefore, one of the beginning places on an international front that we should undertake is the business of gathering data about the needs, the capabilities, and the problems involved in addressing the preservation of Third World literatures.

Unfortunately, that gap in our information is by no means unique. We do not have a firm grip on the totality of what has been filmed in the last 50 years, or of the preservation microfilming effort going on today. We do not know what films are available for purchase from libraries that have made this effort, and we do not yet have the mechanism established for recording accurately, in many instances, the filming of previously unfiled titles. We do not yet have the system for storing and disseminating endangered titles. We have a number of gaps in both our knowledge and our capabilities at this time, and yet we are under the gun as far as

² *Preservation of Library Materials: Conference Held at the National Library of Austria, Vienna, Austria, April 7-8, 1986*, ed. Merrily A. Smith (Munich: K. G. Saur, 1987), 2 vols.

³ *Preservation Policies and Conservation in British Libraries: Report of the Cambridge University Library Conservation Project*, by F. W. Ratcliffe with the assistance of D. Patterson. Library and Information Research Report 25. (Wetherby, West Yorkshire: British Library, distributed by Publications Sections, British Library Lending Division, c1984).

time is concerned, and it behooves us, I believe, to turn our thought with equal seriousness to this side of things, as we do to the problems of cooperative collection development.

My point is that there is plenty of opportunity for contributing for all libraries—even those that may not have collections that warrant substantial involvement in filming programs—to join in solving some of these attendant problems.

This leads me back very quickly to where I began. We have lacunae once again. In this case, in our information, and here we are, trying to fill gaps and chew on nails and everything at the same time, and yet we do not seem to get very far.

In 1972, Warren J. Haas, then Director of the Columbia University Library, made a report on preservation to ARL⁴. In that report, he said, what we need to do—I am paraphrasing here—is to quit talking and start a major filming effort. That was 16 years ago, and we are still talking. It is time we took his advice.

⁴ Warren J. Haas, *Preparation of Detailed Specifications for a National System for the Preservation of Library Materials* (Washington, D.C.: Association of Research Libraries, 1972).

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The short and direct answer to the complex question asked by the conference organizers is: "With great difficulty." The question presupposes the existence of coherent, planned collection development policies at both local and national levels, and perhaps also makes an assumption that these policies, where they exist, have been defined primarily to complement and reinforce each other. Unfortunately, coherently planned collection development policies are still fairly rare in the United Kingdom. Where collection development policies do exist they are more likely to be designed as general statements. Reflecting and responding to academic pressures upon the library, they are more often formulated within the context of inadequate resources than as constructive statements within the context of a total national resource.

To understand the difficulties, one must first appreciate the traditions of British academic libraries, the autonomous nature of the universities that the libraries serve, the devolved system of library funding in the United Kingdom, and the lack of any "external" agency for promoting cooperation between them. These matters intrude into any discussion of greater cooperation and present obstacles that must be overcome, or at least reckoned with, if greater coordination is to be achieved. They are issues which raise strong feelings. There are those who will argue that without legislation or a major change in the system of funding, no proper coordination can be achieved. There are also those who will argue that the loss of institutional autonomy and the loosening of the close relationship that exists between the library and the academic community is too high a price to pay for coordination that promises much in theory but can lead to few real benefits in practice. Both of these arguments are expressed as strongly today as at any time in the past, notwithstanding the real reductions in purchasing power that we are now facing, and the sense of crisis which most librarians recognize in their daily work.

Collection development policies imply organized selection. The slow growth of British academic libraries in comparison with the academic libraries of the United States suggests that there has always been a high level of selectivity in British university libraries. It has been claimed that this selectivity has been the product of a close identity of purpose between the library and its academic community. Since selection has been largely in the hands of the academic staff, the necessary and essential books to support the teaching and research of the universities have been acquired, and the *quality* of the library is high, and of great relevance. "It can be no accident that the acknowledged 'great' universities across the world are usually distinguished by 'great libraries,'" says Dr. F. W. Ratcliffe in his essay on "The Growth of University Library Collection,"¹ published in 1980. He later goes on to say "'Large' is clearly

¹ F. W. Ratcliffe, "The Growth of University Library Collections in the United Kingdom," in *University Library History: An International Review* ed. James Thompson (London: Bingley, 1980), p.6.

only one facet of 'great.' 'Great' libraries, in Hobson's terms² are not necessarily those with the largest stock. It is rather the presence of so many 'great' books in one place which is the determining factor."³

There is no doubt that a well-founded university library owes much to the scholarship of the academic community it serves, through the attention they have given to the selection of books for that library; it also owes much to the gifts such scholars have made to the library of their own excellent collections, and, perhaps more than any other debt, it owes the debt of gratitude to its scholars for the political pressure they have exerted to ensure that it has a sound financial base.

But it is equally true that the lack of funds has unduly restricted the growth of libraries in the United Kingdom, and that selection from a base of poverty is a much less beneficial process than selection from a well-endowed book fund.

It is clear, also, that although the size of the library may only be one facet of a great library, the comprehensiveness of a collection in any subject is a major factor in the library's importance to research and scholarship. Most libraries have pursued the idea of comprehensive coverage in their collections. They have sought to create a universal library holding all serious literature of academic value. In doing this they were following the concept pursued by Panizzi for the British Museum in the 19th century. They were also following the ideal embraced by the Bibliothèque Nationale and by the Library of Congress, for which Jefferson claimed in respect of the library he presented to Congress "there is no subject to which a member of Congress may not have occasion to refer"⁴, and which Spofford confirmed in building its collections over 32 years. This ideal is still pursued today by many libraries, despite the impossibility of any one library collecting the universe of printed material relevant to scholarship in the post war period.

It is not difficult to see why; nor indeed is it difficult to understand the apparent contradiction between, on the one hand, the librarian's awareness that no library can be comprehensive, and on the other, collection development within his library which suggests that the library aims to achieve a comprehensive universal collection. The nature of the relationship of the library to its community, and the post war development of British universities, reinforce the concept and encourage the contradiction. The university librarian has not been discouraged by his academic colleagues from collecting as comprehensively as possible, in support of an ever-widening research commitment of the university. Although the argument "more means worse" was frequently put in the period of expansion of the universities in the 1960s, the expansion itself generally followed the principle that a true university must embrace most if not all the important disciplines and be "universal" in its approach to scholarship. Only in recent years has this freedom to extend research activity in all disciplines been questioned. The principle of maintaining teaching and research in a comprehensive range of disciplines in each university is now threatened by the greater intervention of the UGC under its program of rationalization. This rationalization will have its effect upon university library provision if, as Ratcliffe claims, "the relationship between scholarship and libraries has been from the earliest times a most

² A. Hobson, *Great Libraries* (London: Weidenfeld, 1970).

³ F.W. Ratcliffe, "Growth of University Library Collections," p. 7.

⁴ John Y. Cole, *For Congress and the Nation: A Chronological History of the Library of Congress* (Washington, D.C.: Library of Congress, 1979), p. vii.

intimate one: the two are utterly interdependent."⁵

The recognition that the library could not be totally comprehensive as the world's scholarly literature expanded has led to various attempts to extend coverage through nationally conceived cooperative schemes. The difficulties that beset these schemes and led to their collapse or, at best, limited success, still remain at the heart of the problem today. The long term nature of these difficulties in holding back coordination of collection development is well illustrated when one goes back some twenty years and reads the *Report of the Committee on Libraries*⁶ issued by the University Grants Committee in 1967 (The Parry Report). The *Report* devotes a full chapter to library cooperation in the acquisition of foreign literature and considers in some detail the Farmington Plan and the U.S. Congress Title II-C program, which were at the time seen as progressive models for such cooperation. It draws attention to the Scandia plan of 1956, and to the Sondersammelgebietsplan developed in the post war Federal Republic of Germany, which has operated since 1949 with considerable funding support from the Deutsche Forschungsgemeinschaft. It comments: "In each of the schemes, the largest and most important libraries cooperate. Secondly, all the books bought are available by interlibrary loan to other libraries in the country or countries concerned. It should be noted that copies of the national publications of each of the countries concerned are also available for interlibrary loan because at least one deposit copy can be lent."⁷ "The features of the three systems which are particularly relevant to the British situation are (a) that only the German libraries receive funds for the cooperative purchase of materials and (b) that the Scandinavian libraries are mainly large and most American libraries are larger than the British libraries (except the copyright libraries). The cooperative acquisition schemes are all based on rich library resources or existing special collections. Any similar British plan would have to be founded on poorer book stocks."⁸ Notwithstanding the various cooperative schemes that had developed in Britain in the 1960s—SCOLMA, the Asian union catalog, Slavonic-East European and the Latin American cooperative catalogs and acquisition schemes—SCONUL in its evidence to Parry had this to say: "The present coverage in this country of the world's scholarly literature is inadequate nationally, regionally and locally because of the resources of even the largest university library (including Oxford, Cambridge and London) are insufficient for all the research projects conducted at present or which should be conducted."⁹

The committee's recommendations argued for planning on a national scale for the fullest possible coverage of foreign literature in the humanities and social sciences, seeing the establishment of the British Museum Library departments as the British National Library to be "a prerequisite of a national plan for foreign acquisitions in which the national library should play a major part."¹⁰ But the *Report* also identified the problems inherent in the British system to central national planning: "Objections raised in evidence to the establishment of a

⁵ F. W. Ratcliffe, "Growth of University Library Collections," p. 7.

⁶ University Grants Committee, *Report of the Committee on Libraries* (London: HMSO, 1967).

⁷ *Ibid.*, p. 74.

⁸ *Ibid.*, p. 74.

⁹ *Ibid.*, p. 77.

¹⁰ *Ibid.*, p. 79.

'Farmington Plan' system for books in this country were that individual institutions would have to surrender their autonomy in the choice of books and that some second rate or even worthless materials would necessarily be bought under any blanket order scheme."¹¹ Of local cooperative schemes, it commented, "It has been represented to us that, no matter how closely these various libraries may be associated, they are not able to assume responsibilities for the acquisition of materials on behalf of one another. . . The university so often needs to have the periodical. . . in its own library that the presence of a copy several miles away in another library is no substitute."¹²

Ten years later, in 1978, five years after the establishment of the British Library in a form which seemed to meet the recommendations and conclusions of the Parry Report, D.J. Urquhart writing on the work of the National Central Library expressed the problem of resourcing cooperative collection development again in terms of the surrender of autonomy. "The actual method of financing libraries militates against library cooperation for the direct paymaster of a library—an academic institution, a local authority or a research institute—is concerned with using the resources allocated to their institution primarily for the purpose of that institution."¹³

Much of the discussion of the last ten to fifteen years on the national coordination of libraries has centered on this problem of distributed funding, and the direct relationship between the university and its library in resource allocation. This latter extends the principle of autonomy from the university itself to its library. The library's paymaster is the finance committee of the university. This is comprised of many of the senior academic staff that the library serves. The librarian seeking to develop cooperative development schemes with others in order to make the best use of his resources may be encouraged to do so but only to the extent that he can make the resources of others available to his own university. When funds are scarce, he is not likely to receive encouragement to use these scarce resources for the acquisition of materials "in the national interest," as part of a nationally conceived collection development policy. Many have therefore agreed that the creation of a nationally conceived policy is impossible for the reasons given by Urquhart. Any real linking of local and national collection development policies is also made difficult by the distributed funding responsibility in the United Kingdom. Each university receives a block grant from the UGC; the polytechnics receive funds through their own authorities, and even the three national libraries have different immediate paymasters (although, in fact, all parts of the system eventually rely upon the Treasury for public funding). Their argument is reinforced by recent legislation. The opportunity that was presented in the current reorganization of higher education for uniting the polytechnic and university funding systems was not taken. There now seems little likelihood of any overarching body being established in the immediate future which could successfully apply funding to the libraries serving higher education. The library system which is recognized to be interdependent is not specifically resourced to be so.

Various attempts have been made by professional groups to have the need for a coordinating national agency for libraries recognized by Government. They are clear evidence of professional recognition of the need to link local and national policies, and to establish

¹¹ University Grants Committee, *Report*, p. 77.

¹² *Ibid.*, p. 68.

¹³ D. J. Urquhart, "NCL—a Historical Review," *Journal of Documentation* 34 (1978):280.

administrative mechanisms to achieve this. The development of the Library and Information Service Councils and Committees (LISCs) for each of England, Wales, Scotland and Northern Ireland are the direct outcome of this professional pressure, but they have not led to any change in the administrative system. Indeed, their very existence is believed by some to have made more radical change by legislation less likely to occur. Nevertheless, LISC (England), with its series of reports on the *Future Development of Libraries*, has done much to seek to strengthen by voluntary means the coordination of library policies. It has sought to encourage local cooperative approaches to collection development. In particular, it has sought to improve access to collections and information through its strategic argument for national access policies.

In its third report, LISC (England)'s proposals for the creation of Local Information Plans (LIPs) recognized the practical and political difficulties of what has come to be called the "top down" approach to coordination. It advocated instead a "bottom upwards" system of integrated planning through the local area tier of planning, following the model of the local authority planning structures. There is much, in theory at least, to be said for this approach. The fact that LISC has received funding assistance from the Office of Arts and Libraries for local areas to develop their LIPs suggests that LIPs may attract improved resources to create effective links at a local level. These may lead to greater coordination of local national policies. But it is too early to judge whether LIPs will achieve what other cooperative schemes have sought to do, and modify policies in such a way that a better overall provision results. In particular, difficulties may arise in respect of the university library's role in the LIP. Frequently, for example, the university library may be a "net provider" for the region. Its own institutional priorities, however, are more closely related to a set of national policies for research funding. Although the LIPs seek to draw into the planning structure the formal authority of the university, that formal authority may not wish to switch its priority from national research policies to support a major local initiative that is apparently marginal to that central interest.

The emphasis of the LIP scheme on access to information rather than on the growth of holdings, while encouraging better use of existing resources, may do little to deal with the rationalized improvement of local holdings. At worst, it may lead to an increased demand on collections and to greater local expenditure on services to promote access. In a university library context, this may result in further diminution of the resource available for collection development as funding is switched to improved services for a wider community. The current emphasis upon meeting the national need for information, which lies at the heart of the arguments in the *Future Development of Libraries* tends to be biased strongly towards scientific and technical information provision. It stresses the services of the library as an intermediary in the chain between the originator of the information and the person needing that information. It is more concerned with the "getting to" that information than its collection and organization, and gives low priority to the growth of collections themselves. There is obviously much to be said for making better use of the collections we hold, but without renewed initiatives to improve the total coverage of scholarly literature in our libraries, access to that literature will be limited because of the limited range of the collections.

The severity of the present funding crisis affecting universities and their libraries makes such initiatives even more important, and in itself encourages rather than discourages new attempts at coordinated collection development. Particular encouragement may come from the fact that the University Grants Committee and the Research Councils are pursuing policies that impose much greater central direction upon the development of university research and teaching programs. By their own greater selectivity in the allocation of funds, a purposeful, if unwelcome, rationalization of teaching and research activity is being pursued which will

increasingly affect library development.

For many years, SCONUL has argued that greater coordination and the rationalization of collection development in libraries is largely dependent upon rationalization of teaching and research between university instructions. The UGC is now doing this, and the validity of SCONUL's argument will be tested. The Jarrett proposals for more effective management of resources within the universities also provide the librarian with new opportunities to assert his position as the manager of the library economy in addition to the traditional role he has played as the formal head of a service providing books and periodicals for the academic community. Politically he is now in a much stronger position to develop forceful arguments for the greater rationalization of his acquisitions programs. He may, in his use of resources, now be expected to take into account the economy of local provision and the economy of a wider national provision. That expectation will come from the university 'manager,' and not necessarily from the academic staff. To fulfill it, and to maintain academic support will not be easy.

At the national level, also, real funding of collection development is declining rapidly, and it is apparent that even the resources of the British Library are inadequate to maintain excellence across the comprehensive range of its collections. The British Library is seeking, therefore, to reassess its policies both as a library of "last resort" to the UK system as a whole and a library of "first resort" as the primary research library in the country. This reassessment in terms of collection development and conservation takes as its starting point the interdependence of academic libraries. The British Library is seeking wide consultation with the major university libraries in the United Kingdom and with the other national and copyright deposit libraries both here and in Europe. It is meeting both with the Committee of Vice Chancellors and Principals and with the UGC to discuss how cooperative developments might best be fostered, and how resources might best be shared. In this it is seeking to integrate its own policies with those of the universities in much the spirit that was sought in the recommendations concerning the national library in the Parry Report of 1967. The wealth of the Library's collections is seen as a point of strength for the constructive assembly of a national network of interrelated but basically independent collection development policies. The richness of the collections in the major university research libraries must be the base upon which greater integration is built. There is little value in constructing an elaborate network about poor collections.

The opportunities for new initiatives are improved further by the technology that is now available to us. For the first time we have a technology that is able to support much more flexible arrangements for defining and reporting cooperative collection development. We have already seen the value of automated systems in creating cooperative cataloging arrangements and in enabling the use and reuse of centrally and regionally produced records from the British Library, SWALCAP, BLCMP, LASER, and other databases. The development of integrated systems for library activities is now beginning to modify the economics of record handling in university libraries. At the same time, they provide much greater managerial knowledge of the use of collections. The information they offer can provide not only data for testing the validity of the criteria used for book selection, it can also assist in maintaining far more effective control of committed expenditure against the range of basic library activities.

We are already moving into the next stage of automated development where the local integrated systems are linked into wide area networks, making them accessible from any point on the network, efficiently and comparatively cheaply. The full significance of these networks has yet to be realized. Much may be claimed for them which will never be realized unless librarians can bring to their development a much stronger and firmer grasp of the economics

of record creation and handling. In the last ten years much of what we have done has been in pursuit of the mechanization of the elaborate systems we devised for manual control, and has resulted in expensive record structures that are heavily dependent upon intellectual effort in structuring them from sequential filing systems. Nevertheless, I have no doubt that networking will offer great opportunity for much closer collaboration and linking of policies. We have already seen from the development of the integrated online systems that they can break down the conventional barriers between departments in a single library. We can look to the United States both for the example of linked systems and for the experience of the pitfalls to avoid in the development of our own networked systems using Open Systems Interconnections.

The questions remain: given that the new technology permits new methods of resource sharing, what kind of resource sharing should we be seeking and how, given our funding system, can it be resourced fully? Current developments and past history suggest that the answers will be evolutionary and pragmatic rather than revolutionary ones. They will arise from a compromise between the "centralist" arguments and the "devolved systems" arguments, both of which have strengths and weaknesses in the context of the British pattern. The centralist view looks towards the development of a central pool of materials funded by central government specifically to meet the overall national need. In the United Kingdom this would clearly be based upon the British Library's Document Supply Centre, which has successfully demonstrated the effectiveness of providing a shared resource from a central collection in the sciences. The coverage of humanities and social science material is less successful, but the adoption by the British Library of a common-stock policy, and the development of the "back-up library" support system by the DSC is leading to better remote supply of such material (and, incidentally, considerably increasing the expectations by librarians and readers of the range of material in the humanities that can be borrowed through DSC). The centralist's argument is strongly based on the economics of a centralized collection. There can be substantial savings across the system by not duplicating specialized material in low demand. The development of a library with the specialized function of interlending from its stock "on demand" reduces storage costs for that material since it uses warehousing techniques not suited to open access collections; and, since it is geared entirely to document supply to the remote user, its primary performance measures continually reinforce the need for timeliness and low cost in supply. With the planned extension of this central provision, goes the argument, university libraries could concentrate their acquisition policies towards the provision of material in heavy demand and that material which is required "on the spot." The judicious use of statistics and other information gathered from their integrated library systems would give librarians much sharper knowledge of the true nature of the demand, and would scotch many of the myths which the academic departments promote about the essential need for certain titles to be held locally.

However, the centralist view that such a system could essentially create complementary policies for collection development between the Centre and other libraries also must presuppose that the central agency has established its own acquisition policies by anticipating accurately the needs of the borrowing libraries and that it is adequately funded to meet those needs. It also presupposes that the borrowing libraries can switch funds from acquisitions into interlibrary loans without risk to those funds. To do this the librarian must satisfy his paymaster that the interlibrary loan is an alternative to acquisition. Expenditure on interlibrary loans must be protected in the same way that the acquisitions budget is protected and not thought to be part of the general administrative overhead cost which every librarian is called upon to cut back when funds are scarce. None of these suppositions is without risk at present. There is some crudeness in the understanding of the real needs in the demand upon the Centre; there is also

a possible conflict between the demands of various parts of the library system—the demands, for example, of the public libraries and the industrial libraries in comparison with the demand of the academic library. DSC has an obligation to meet the requests from all of its users, and its stock development is based on effective monitoring of the range and intensity of that demand from all sectors. This helps to account for the fact that the scientific material in heaviest demand in the DSC comprises most of that material in heavy demand and already available in stock (and not presumably generating interlibrary loan requests) in a university library. The result is that DSC, in responding to that demand, considerably duplicates that material already available in the university library in order to supply its other users, who might find their needs satisfied by their local university directly, if there were direct access to their holdings and local services to industry were well developed. The argument for such duplication in a centralized system has been clearly stated by Maurice Line.

It may be useful at this point to rehearse the reasons why a national lending collection should contain not merely uncommonly held items. . . but those most commonly requested, which are in fact most commonly held by libraries. In the first place, a library devoted solely or primarily to interlending can give a faster and more efficient interlibrary loan service than a local library, even when the latter has the wanted items on the shelf; in fact, commonly held and commonly wanted items are often not on the shelf, and even when they are a library may be reluctant to lend them, particularly if they are very recent publications. Secondly, decentralized access means dispersed responsibility, to keep as well as to lend. . . . Finally, it is difficult with decentralised access to fulfill an international responsibility for lending native publications to other countries.¹⁴

The LIPs programs might well address problems of improved local access and provide useful information which would lead to modification of DSC's acquisition policies. At present it would seem that a closer correlation of local and national acquisition policies, even for the centralist solution, demands a better definition of local "needs," as opposed to "wants." Both the local and central systems are "wants" led, but there is insufficient penetration at policy determining levels of the better economics of a "need" approach. At the local level the argument for holdings to satisfy "on the spot wants" takes precedence; at the Centre the "want" of the user is directly expressed by the local library, in the form of a request for material it cannot satisfy from stock at the time the "want" is made known, and is perceived by the Centre as a "need" which should be fulfilled. Monitoring of requests at the Centre obviously helps to direct the acquisitions policy of the Centre and I am not suggesting that its policy is to supply all which is requested. The central provision and the local provision are both made more difficult when funds are scarce by the fact that both the local and national systems are supporting high rates of acquisition in the most expensive fields of publication—in science, in medicine, and in technology—where speed of access is considered critical but where costs are soaring. Though material is much less expensive to obtain in the humanities, and to a lesser extent the social sciences, they risk being starved of funds at both the local and the national level in order to provide for the rise in cost of scientific journals. This will, in my view, remain a major problem for the rest of the century unless it can be resolved by modifying local and

¹⁴ Maurice B. Line, "The British Library and the Future of Interlibrary Lending," *BLL Review* 3, no. 2 (1975):37-42.

central acquisition policies. Simply put, if universities must continue to give priority to locally held scientific material to support their scientific research, and to give on the spot access, should the national system also give priority to the same material? The centralist view is that if a strong central collection is developed, and meets the needs of industry by remote supply, could not the universities also use that central collection and divert acquisition funding to the humanities? In the short term, the centralist argument is not likely to prevail, except for low use materials. It would appear that the devolved approach, with great opportunities made for extending local access and for providing material for a wider range of users from the university library might suit the academic community better.

The central view also, as I have suggested, implies that the central provision is adequately funded. In the case of the British Library, there is less than adequate funding to meet all the demands on the Centre. Further within the overall funding the Library has to balance as effectively as possible the resource it allocates to meet the demand on each of its services: Document Supply, the National Bibliography and centralized cataloging service, and the reference and research collections in central London. Crudely put, the more resource is put into acquiring material for remote supply, the less is available for developing the research collections held in central London, and the less is available to support the development of centralized bibliographical services for the British Library and for networked access. Any modification in local and national acquisition policies in respect of the sciences that led to reduction of duplication would inevitably benefit the provision of research material in the central London collections, and particularly be of benefit to the strengthening of the excellence in the humanities.

The decentralised view argues that networking developments will permit much improved access nationally to local collections. It considers the whole stock of the networked libraries to be part of the "national collection" and accessible as such. However, in this argument, it makes light of the problems of meeting the national demand in the local library, and the cost to an individual library of being a "net-lender" to the system, the cost that is of providing an efficient and fast remote service in a library geared to open access use by its readers. The devolved system would certainly place an extraordinarily high premium upon efficient local handling of requests for it to be successful, and there is little doubt that the present network is not well enough developed, nor are the individual libraries staffed and organized, to meet the existing demands. There is also evidence enough already to suggest that the increased accessibility that is given by networking local catalogs increases demand on local libraries at a time when they are experiencing great pressure to reduce their staffs and to cut services.

Nevertheless the devolved system offers major benefits for resource sharing, and the better integration of library development undoubtedly lies in utilizing the technology for information exchange between libraries while developing centrally the provision of material that is uneconomic to provide locally, that is, mainly low use material. But it is also highly dependent upon the development of resource sharing principles by librarians themselves, and upon a coordinated and imaginative use of the technological resources by major libraries in the country.

The JANET network, linking as it does all universities in the United Kingdom and the national libraries, can provide the infrastructure for greater integration. Two major groupings of library databases, BLCMP and SWALCAP, already have access to the network. The CURL group of libraries is creating a common database index to the machine-readable records in the seven largest university libraries in the country, two of which, Glasgow and Edinburgh, are also part of the SALBIN experiment under which 11 libraries (eight university, two public and the

National Library of Scotland) are making each of their integrated systems accessible to others and to the network as a whole. Under both the CURL and SALBIN systems it will be possible with no line charge costs for each of the libraries having access to the system to modify its actual acquisition policy by checking the availability of titles in the other libraries in the system. Within the next few years I believe such checks will commonly be automatically built into the selection/acquisition procedures as a simple extension of the check on the library's own catalogs before ordering, giving for the first time, a cost effective solution to the problem of selection against the holdings of other libraries. If the SALBIN experiment can be developed into a successful scheme for enquiry into any file in an integrated library system, and technologically this is feasible through controlled "reading" gateways, then it promises also the facility to check at the order stage against the order file of other libraries, as well as against the catalogs. Similarly, by access to loan records, the network could provide information on the availability of particular titles for interlibrary loan, and also give direct transmission of the loan request, all at much lower input costs and file maintenance than is possible in a manual system. The speed of transmission of information on availability of required text could be a critical factor in improving access in devolved systems.

With such vast potential for networked access to individual databases, the efficiency of the network and of search techniques becomes of prime importance. The efficiency of the network itself will clearly depend upon the resource which the Computer Board and the UGC make available for its development and maintenance, but since it is not a library-dedicated network, considerable pressure should be exerted for high efficiency from all university users for rapid data interchange in research fields and in electronic mail systems as well as for library access. The efficiency of search techniques will be highly dependent upon the libraries themselves.

The Conspectus of collections may well be one of the most effective tools for mapping the network at various levels: for holdings, for acquisition policies in specific disciplines, and for conservation policies. Its use in the United States among RLG libraries and in Canada for an overview of the weak areas of collections, and for significant gaps in collection development in the totality of the libraries using the Conspectus suggests that it has considerable potential. The crude methods employed in the 1960s of allocating subject responsibilities in collection development from a centralized "share-out" of such responsibilities can be replaced by a much more interactive system. The British Library has already developed a machine-readable map of the Conspectus details of the SALBIN group and the British Library. It allows rapid identification of the strengths and weakness of each collection and of the subject coverage in the whole group. Its usefulness as a directory will, I hope, be well tested by the Scottish group's use of the database at the "front end" of their SALBIN system. But its material usefulness will be limited unless more of the major libraries can be persuaded to undertake the Conspectus. Meanwhile there is considerable interest in Europe and the British Library is with the encouraging support of the Council of European Directors of National Libraries, seeking to obtain funding to develop a systematic European approach to Conspectus, while also encouraging further work in adapting the Conspectus to European libraries by LIBER.

The development of the CURL database, and the simultaneous retrospective conversion of the British Library Catalogue promise much. The BLC will be completed in three years time, and will be made available to other libraries as a resource on BLAISE, and probably also in CD-ROM format. (Interesting experiments are also taking place in mounting on a CD-ROM both the BL catalogs and the catalogs of the Bibliothèque Nationale, and in the development of a unified software program to access the records of both libraries.) The availability on the

network of both the holdings of the CURL libraries and the entire catalog of books in the British Library reference collections will transform access to bibliographical data both for acquisition purposes and for research use of the collections. It will improve considerably the speed with which material can be made available to scholars visiting the London collections of the BL, and developments in the fax transmission service for document supply, will make more of the stock available rapidly to remote users with an acceptable delivery time. It will also permit rapid retrospective conversion of catalogs to be undertaken by major libraries, thus increasing the availability of older material through the network.

The devolved system no longer requires the man-years of effort that have been expended in the past in creating union catalogs as the essential tool for cooperative development of collections, and the speed and accuracy with which locations can be found for any given title through the network will substantially change the perceived value of devolved collection development. It is within this context that the question of how the local and national collection development policies can be linked will be answered.

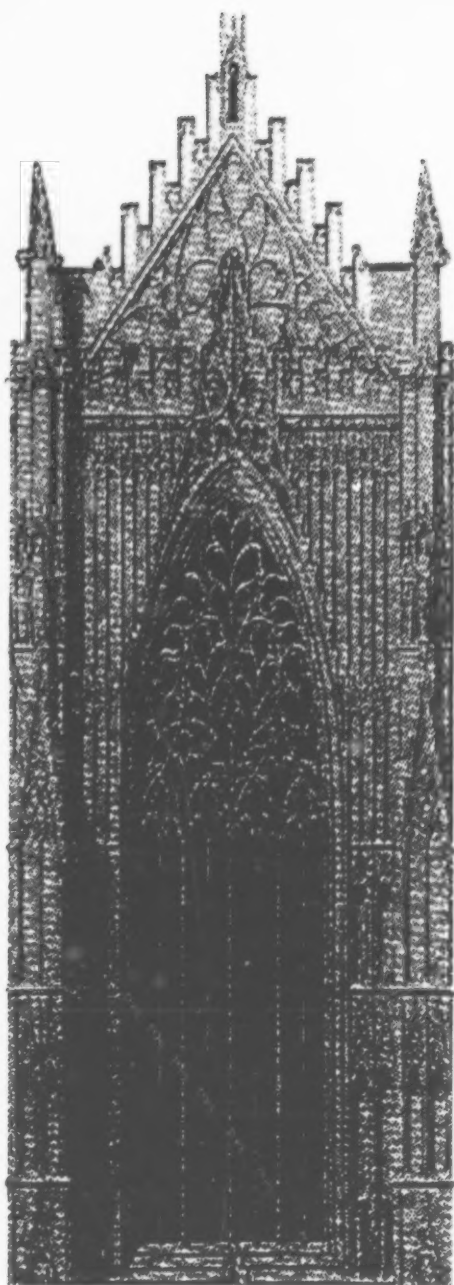
Much the same solutions should and will be applied to the conservation policies of individual libraries. It is already clear that the national responsibility for conservation of materials must concentrate primarily on the archive of national printing, and this is clearly the major responsibility of the three national libraries and the copyright deposit libraries. Adequate conservation of existing material can only be achieved by a cooperative program, and by the integration of each of the conservation programs of these major libraries, which because of their collections will also face the responsibility for the preservation of the greater proportion of research material of foreign origin. The British Library is exploring with such libraries how the programs can be coordinated. Again the problem lies in how a coordinated program can be implemented without unduly trespassing on the autonomy of the individual libraries to order their priorities according to their institutional needs. Fortunately, perhaps, the scale of the problem facing us actually helps to reduce the conflict between autonomy at a local library level and planned work in the national interest. The British Library's own conservation need is so great, and that of the other national and parastatal libraries also so great that there need be no conflict between their individual programs and priorities according to local use, provided common sense prevails.

What is needed is the exploitation of the networked record system. A start is being made with the British Library's National Register of Microform Masters which will give access to data in machine-readable format of microfilms made by any library which submits the data. (The Register will also link with RLG's database of microform masters.) Other developments are needed in order to coordinate conservation work and prevent unnecessary duplication. The addition to the standard MARC record of a field which is used, and can be accessed, for record conservation decisions relating to a particular text would allow not only any library to record accurately the decisions it has taken, but also any library having access to the record through the network to be able to check whether a decision has been made elsewhere to conserve a particular text when considering its own conservation program. The coding would need to denote both the decision not to conserve, and the decision concerning the conservation treatment which is undertaken, whether it be boxing, rebinding, deacidification, or whatever. The British Library wishes to develop a national system for such coding.

At the same time, it is necessary to continue discussing with other major libraries how broad priorities can be agreed which prevent unnecessary duplication of programs. At local levels the emphasis must be placed upon the conservation of local collections as well as upon those texts in special collections that have obvious value. Again, in the more general collections

there is scope for using the Conspectus approach that links collection development with conservation of holdings of excellence. Discussions with the University Vice Chancellors & Principals will need to stress the need for rationalization and coordination of retention policies, in line with the rationalization of university research and the possible development of centers of research excellence. It is also necessary to ensure that the relationship between acquisition policies and retention policies is fully understood. At one level every acquisition that is retained presents sooner or later a conservation problem; if a library fails to appreciate this, then it cannot make a full contribution to either the improved coverage of materials in the country, either by current acquisition or by conservation of that already acquired. Clearly there is need for a devolved approach to retention if best use is to be made of the available funding, and old concepts must change. While the need for preservation of rich collections at a local or regional level to meet heavy and sustained demand is not in question, the lack of any policies governing the retention of material in lower use is cause for concern and must be remedied. The British Library is currently seeking better knowledge on which to base its own retention policies and the issues it addresses in its present study, led by Dr. Enright of Newcastle University, will be of considerable significance in answering the question posed by the organizers of this conference. They are issues which may generate much partisan feeling, since they concern the best and most cost effective ways of maintaining the national archive. It would be a disaster, both nationally and locally, if the study merely provokes a range of hostile criticism to solutions that are appropriate in the present day context of improved technological facilities for linking libraries in this country. The better use of resources is inevitably conditional upon sharing both the responsibility and the resource.

I suggested that the short answer to the question put by organizers is "with difficulty". I believe that the difficulties standing in the way of improved coordination in collection development are not, however, insurmountable. The opportunities we have currently to exploit through technology new methods to achieve the links between national and local policies in acquisition and conservation programs are greater than at any time. What may be more difficult to overcome are conservative attitudes and limited visions of what may be achievable. If we seek bold and courageous policies, and discuss openly and frankly how these policies may be best defined to meet the national need, then we may succeed where previous attempts have failed. Despite all the difficulties, I remain firmly optimistic.



Session IV

how can collection development
and management be most
effectively organized and staffed?

Speakers:

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British Library humanities and
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BARRY BLOOMFIELD

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If "collection management" implies a positive managerial attitude to libraries, their collections and stock, as opposed to the older concept of the library as a passive storehouse of knowledge acquiring materials by a gradual process of uncontrolled accretion, then "collection development" is a part of that managerial discipline defined by Paul Mosher as "...the effective and timely selection of library materials carefully forming constructed area or subject collections, shaped over time by bibliographic experts. It is the synapses linking thousands of decisions into sensitive provision of needed research materials, the capacity to make the parts fit the needed whole".¹ Some definition is probably needed at the beginning of this paper, for the concepts are not widely used or understood within the United Kingdom, and most of the published literature using such language is North American in origin.²

The systematic development and exposition of these ideas arose from the crisis in library provision experienced by North American universities in the 1950s and 1960s when libraries were inadequate to meet the demands made on them by an increased population of teachers and students in conjunction with a wider range of subjects studied. Existing libraries, passive storehouses of knowledge, could not meet this increased demand, and the idea of the university library presenting a stock exemplifying a unified and agreed corpus of selected knowledge was equally inadequate to satisfy enhanced research demands. Thus as Mosher writes, you either "(1) get a lot of money, spend it, and build comprehensively, under the premise that if you get enough, you are more likely to get what your users need; or (2) hire specialists to identify and locate needed resources, and make sure that the library was effective in getting the materials it needed. Collection development, as a specialization in librarianship, was born out of this latter solution."³

Previously, when cash was plentiful, libraries could adopt either of Mosher's solutions, but now that cuts and retrenchment are the norm, the techniques of collection development are forced on all major academic and research libraries, and the pressure engendered by shortage of funds is reinforced by an increasing volume of publication in all countries throughout the world. To add spice to the dilemma, the demands of library users are increasing rather than diminishing, and the pace of technological change increases.

To design and implement rational policies of collection development and management there are certain prerequisites and questions to be considered:

¹ Paul H. Mosher, "Collection Development to Collection Management: Toward Stewardship of Library Resources," *Collection Management* 4, no. 4 (Winter 1982):41-48.

² The most comprehensive statement is to be found in *Collection Development in Libraries: A Treatise*, ed. Robert D. Stuart (Greenwich, Conn.: JAI Press, 1980) 2 vol.

³ Paul H. Mosher, "Collection Development to Collection Management," p. 42.

- 1) **What type of library?** National or public; academic or special; closed access or open access; recreational or educational; all these needs to be defined and as part of the library's role or mission statement.
- 2) **What type of user?** Academic or popular; in-house or distant; affiliated or public; literate or numerate?
- 3) **What use?** Intensive or ready-reference; what quality of use; what user quality; volume of use; and what back-up is available locally and nationally?

These and similar questions must first be investigated before the preparation of any collection development policy can be planned, for such secondary statements are the implementation documents embodying policies to achieve the library's overall strategic aims.

Assuming that this has been done, each library needs to prepare its collection development policy and express this in an overt statement, which is developed by the library staff and has the consent of users, or at least their tacit assent. Publication of the document or policy will ensure that librarians and users are united in a common purpose and prevent unreal expectations of the collections and the services based on them. Preparation of a positive statement of collection development is often difficult and a simplified, if negative, approach can sometimes be profitable—the preparation of an "exclusions" policy, or, specifying what the library does not intend to acquire. In addition since no library can nowadays be self-sufficient any collection development policy should at least cast an eye towards some statement of collective, or cooperative, collection development on a national, local, subject, or language oriented basis. Delegated or devolved responsibility for collection development is likely to assume increasing importance in future.

A collection development policy once born, if nurtured properly, develops and changes: it is not a constricting framework but a liberating environment and will alter with changing circumstances within the library and the user community that library serves. To ensure that policy is responsive to change it is essential that the library monitors and verifies implementation and results. The ARL Conspectus⁴ is a tool for assessing the retrospective strengths of existing collections and expressing the current collecting intensities of library collections and is applicable by all categories of libraries, individually and in groups. Of especial utility for groups of libraries and for coordinating and assessing the relative strengths of libraries, it can be an indispensable tool in providing a library "map" of resources and as a tool for coordinating collective collection development in federated bodies, local and national cooperative schemes. As a practical means of eliminating unnecessary replication of research collections and securing best value for money it seems at present to have few rivals. The Conspectus is also a tool that permits the systematic recording of changing collection decisions in participating individual institutions. Similarly the effectiveness of collection use needs to be monitored by user studies to assess satisfaction rates, or the contrary. At the same time the library stock needs to be sampled for quality or

⁴ The Conspectus was developed by the Research Libraries Group in 1979. RLG and ARL have collaborated since 1983 to develop a standard approach to describing and assessing research library collections in specific subject areas covering a full range of scholarly interests. This approach has led to the Online Conspectus database, which provides information on the location of specific subject collections and relative strength and language coverage of these collections. The database, managed by RLG, is also available in printed form.

comprehensiveness by, for example, validation studies of the type designed by the ARL for the Conspectus, citation analysis studies, bibliographic checking, or the use of consulting experts. Each can be effective in differing circumstances and each will have implications for the administrative and staffing arrangements adopted to implement the library's mission statement and collection development policy.

Having disposed of these necessary preliminaries, one can now turn to the question posed in the title to this paper, noting that the qualifying adverb indicates a difficulty, for circumstances will dictate different solutions in differing libraries.

The organization of collection development will in most libraries be dictated by the resources, staff and financial, available, and the needs of the collection development plan identified by the library or the parent institution and expressed in a form available and understood by library staff and users. Modern management theory should help librarians with this task but the published literature is not extensive and the problems inherent in coming to grips with new concepts are apparent; that British librarians have an amiable distrust for this type of activity is obvious from an almost complete lack of publication on the subject in the United Kingdom. The solutions offered by the American literature range from Ferguson⁵ who proposes a structural/functional systems model as an aid to analysis preliminary to organizing the process, through Hazen,⁶ offering a similar approach but again limited to academic libraries, to Wreath,⁷ who also offers a model that is decentralized and therefore includes staff/faculty participation. Bryant⁸ offers an interesting methodology for allocating staff resources to match the tasks to be achieved, and includes some material on assessing work loads. All these examples are drawn exclusively from North American experience, and there is little to offer on the British side, where the published literature is limited to practical discussions of the organization of the acquisitions process, or methods for implementing the collection development strategy.⁹

Obviously the way in which a national library, with no discrete or identified public, will organize its collection development differs from that usually proposed by an academic library. In the British Library, for instance, specialization by language area principally prevails in the Humanities and Social Science Division, but there are sectors covered by using an "area studies" approach, and a good deal of subject specialization is used in the Science Technology and Industry division. Previously the British Museum Library used the dealer selection strategy extensively and, indeed, the encyclopedic collections built up by Panizzi in the nineteenth century were mainly acquired through these means. It is important to be able to change staff organization to match changing conditions or the changed demands of a different collection

⁵ Anthony W. Ferguson, "University Library Collection Development and Management Using a Structural/Functional Systems Model," *Collection Management* 8, no. 1 (Spring 1986):1-13.

⁶ Dan C. Hazen, "Modeling Collection Development Behavior: A Preliminary Statement," *Collection Management* 4, no. 1/2 (Spring/Summer 1982):1-14.

⁷ Patrick J. Wreath, "Collection Development-Generalizations and a Decentralized Model," *Library Acquisitions, Practice and Theory* 1 (1977):163-169.

⁸ Bonita Bryant, "Allocation of Human Resources for Collection Development," *Library Resources and Technical Services* 30 (April/June 1986):149-162.

⁹ But see J. F. Stirling, ed. *University Librarianship* (London: Library Association, 1981); J. Thompson, *An Introduction to University Library Administration*, various eds. (London: Bingley); and other general titles.

development strategy. The British Library is now faced with demands from users for specialist bibliographers/reference librarians in such diverse subject areas as law, social sciences, art history, etc., and it has difficulty in accommodating these demands within its present system of language specialization.

Academic libraries, on the other hand, with a known and identifiable clientele of teachers and students, can more easily harness help from users, and in some fashion almost every academic library uses bibliographic selection assistance from its clients and faculty. The degree of control by the library varies: on occasion one hears of selection controlled entirely by the teaching faculty, but this seems only usually to occur in lower level college libraries; alternatively, some form of cooperative consultation, with the library retaining ultimate financial control, is the more usual strategy employed by large academic and research libraries.¹⁰

The employment of bibliographic specialists, subject or area or language bibliographers, or the use of limited term consultants is also a device used by many libraries to cover a short-term need, or fill a gap in the collections needing rapid attention.

The organization of the process of acquisition is well covered in professional literature. Acquisition for academic and major research libraries is usually accomplished in any of the following ways:

1. by positive selection, either by academic quality, by format, date of publication or any other criteria thought of value;
2. by dealer selection either in accordance with a prior profile of the library's interests or by indicating to the dealer other limitations, such as price, language, format, etc.; and
3. by blanket approval plans implemented by an appointed book dealer and funded by the library.

These methods can be implemented by language, area, or by format specialization, i.e., by treating certain categories of acquisition separately both in selection and procurement. Materials in libraries that lend themselves to such separate treatment are serials, microforms, government and official publications, manuscripts, rare and antiquarian books, audiovisual materials, and maps. Other examples can easily be found. Staffing of such acquisition processes is mainly a clerical responsibility under professional supervision, but the management of the resources assigned to this work needs to take account of the proportion of the budget allocated to particular kinds of acquisition work, the importance of those acquisitions in the library's collection development plan, and the intrinsic difficulty of obtaining differing types of material owing, perhaps, to a lack of book-trade facilities in the source country, and difficult or exotic languages needing specialized correspondence.

The higher management of collection development also needs to take account of other factors. After the formulation of the collection development policy, and arrangements for its periodic and simple revision, there is a need for the development of policies to implement that plan, and the deployment of library staff (and teaching faculty and others) in an organization to carry out the work to be achieved. And there is also a need to take account of other factors

¹⁰ Mark Sandler, "Organizing Effective Faculty Participation in Collection Development," *Collection Management* 6, nos. 3/4 (Fall/Winter 1984):63-73.

such as the library's preservation policy and its impact on the collection development plan, the need for discard (or deaccessioning) policies to be developed in some libraries, and the potential impact of retention studies such as that now being carried out within the British Library by Dr. B. Enright, Librarian of the University of Newcastle, with the assistance of my colleagues Dr. Lotte Hellinga and Dr. Beryl Reid. This study is intended to review the strategy needed by the British Library in the future in relation to user demands, the collection development policy, and the requirements of the legal deposit responsibility the library has. (In respect of the last topic the interests and policies of the other British legal deposit libraries must also be considered.) Such questions as "Do we need to keep all books in the collections forever?" rouse passions within among the library staff, and, without, among users. Of course, nothing is ever that simple, but to compare and contrast archival principles of review and selection with library selection and preservation policies can only be healthy. Faced with a rising tide of published literature legally deposited for preservation, national libraries confront ever increasing problems of storage and preservation. Selection or cooperation are closely indicated as possible ways out of the impasse.

The use of the ARL Conspectus is widely practiced in North America and the online database is available for consultation through RLIN on questions of collection development and for reader information. Collective collection management and the development of the Conspectus system to assign Primary Collecting Responsibility (PCR) to libraries by agreement is another practical method of managing national or regional collection development. It, or some similar system of cooperative recording, is obviously necessary today when libraries confront a huge increase of publications, preservation problems, declining budgets and increased reader demand. These problems cannot be dealt with by isolated action but the previous history of cooperative acquisition plans does not offer future reassurance. The Farmington Plan, PL 480, Title II-C, and NPAC, as well as smaller cooperative schemes within the United Kingdom, essentially failed because the notification of acquisitions under such schemes were not sufficiently precise and up-to-date to meet user demands, and the recording systems such as union catalogs ossified, became less timely and less hospitable to recording changes on location and/or policy. Universal computerization appeared at one time to offer an escape from this difficulty, but a key to mapping collections such as that now offered by Conspectus, facilitating rapid network access to individual library catalogs, seems to provide a more profitable strategy for the future. Whether organized locally, nationally, or internationally, the pursuit of this strategy should be a prime responsibility of national and large academic and research libraries in their collection development policies. But such policies are not to be pursued to the exclusion of common sense and without rigorous intellectual control; Margit Kraft's argument for selectivity is as valid today as in 1967¹¹. When we give up intellectual control of collection development we rapidly and simply lay up problems for libraries in the future and relinquish our prime responsibility of providing essential materials for scholars and their future research.¹²

In the United Kingdom, the Library and Information Services Councils have proposed the creation of Library Information Plans (LIPs) organized on a regional basis where the major public library in an area will organize and construct a plan for satisfying projected local

¹¹ Margit Kraft, "An Argument for Selectivity in the Acquisition of Materials for Research Libraries," *Library Quarterly* 37, no. 3 (July 1967):284-295.

¹² Agnes F. Peterson, "Outguessing History: Collecting Sources Today for the Scholars of Tomorrow," in "The State of Western European Studies," *Collection Management* 6, no. 1/2 (Spring/Summer 1984):145-155.

information needs, including, of course, collection access to other libraries and perhaps cooperative collection development. Such plans present a valid alternative to cooperative collection planning but without a major effort of collective will and, more important, centrally funded encouragement, it seems unlikely to have much impact on the problem, which is in any case more less acute than in North America, where the physical distance between collections can be an important impediment to scholarship. The United Kingdom is so small that access is not a serious problem; what is potentially much more serious is the possibility that without collective collection development on a national basis serious gaps in coverage will develop without anyone noticing them. Now that the United Kingdom is a member of the European Communities the British Library is backing a serious effort to see the introduction of Conspectus on a Europe-wide basis to obviate this possibility. As British Library data are now entered on the RLIN database the information gained should later be available to North American librarians and scholars.

If one is seriously concerned with the organization and management of collection development in libraries, bearing in mind that imitation is the sincerest form of flattery, it is always salutary to see how they do it elsewhere. Baatz¹³ analyzes how they do it in nineteen ARL libraries in a very interesting study, although one final conclusion "I was surprised to learn that space and personnel needs rank ahead of additional funds for materials. . ." produced a cynical response in at least one reader. Librarians, like other bureaucrats, are very good at putting their own needs before those identified by readers, and one should not assume that reader do not recognize this. Baatz perceives a swing from collection building to the provision of service and he is surely right in this assessment; but the whole article repays study and although the work dates from 1977 its conclusions are still valid today. Parallel with this article, Schmidt's¹⁴ article on the organization of acquisition departments in ARL libraries is of interest, particularly the conclusion that professional involvement in such work is at a higher level than most library administrators would wish. In the British Library, a continuing round of Staff Inspections endeavors to reassure tax payers that expensive staff work on expensive tasks, while lower grade tasks only attract work by lower qualified staff; the theory is undisputed but the practice as every librarian knows is more difficult.

This unstructured meditation on problems of collection development, organization, policy, and effectiveness is essentially an introduction to the subject. There is no mandatory solution to these problems which differ in each library, however, there is little doubt that the essential elements of a solution are to be found in the production for each library of a collection development policy that matches resources with the library's aims and expectations and those of its users; the consideration of any possibilities of local, national, and international cooperative collection development, bearing in mind local responsibilities and any collective funding; and techniques such as the Conspectus that permit and facilitate the description of, and access to, other library collections to supplement local resources. Using these methods and techniques we can be said to be using our resources effectively and for maximum benefit to our users.

¹³ Wilmer H. Baatz, "Collection Development in 19 Libraries of the Association of Research Libraries," *Library Acquisition, Theory and Practice* 2 (1978):85-121.

¹⁴ Karen A. Schmidt, "The Acquisitions Process in Research Libraries: A Survey of ARL Libraries' Acquisitions Departments," *Library Acquisitions, Practice and Theory* 11 (1987):35-44.

SHEILA CRETH

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The Organization of Collection Development: A Shift in the Organization Paradigm

A strong impression that develops as one reviews the literature on organization of collection development is that a dichotomy exists between the value we place on the actual collections and the process by which we actually build and maintain collections. For instance, while we recognize that knowledge about collections is central to library service, the process of collection development has been largely removed from the mainstream of library activities and from the involvement of more than a few professional staff. Second, while collections are basic and integral to providing library service, the process of collection development has been seen as so specialized and unique that only a few exceptional librarians or the faculty should be involved. Finally, despite the importance of the collections, there is a view that inadequate staff resources are available to devote to collection development.

Recently the topic of the organization of collection development has emerged in the literature with a degree of urgency no doubt influenced by forces that have created increased demands on the process of collection development. These are primarily forces external to the library such as the economics of scholarly publishing, the impact of the global economy on library acquisitions budgets, the increasing demand for an availability of published material in a variety of formats, a proliferation of new areas of scientific research, and an increasing emphasis within universities for interdisciplinary research. In addition, developments within the library field also are creating new demands and opportunities including the focus on preservation of collections, the automation of library operations and records, and the use of communication technology.

These forces, in turn, generate change, action, and reaction throughout the library. In collection development, professionals have assumed broader and more complex responsibilities responding to new research areas, new formats, and new activities such as resource sharing and preservation, and to the difficulties generated when demands on funding are far greater than resources can support. The content, focus, and process for collection development is at a juncture when it is indeed appropriate for those in the research library community to rethink the organization of this important function and to ask ourselves: What is collection development? What is it we want to achieve in collection development? Who should be responsible for collection development? Where does collection development fit in the organization and what is its relationship to other functions and operations?

Historically, collection development in research libraries has been the responsibility of

a few individuals—the director of the library, a senior bibliographer, faculty, or some combination of these individuals. This approach resulted in collection development being isolated from most professionals, creating a sense of mystery and even elitism around this activity; the impression was that run-of-the-mill librarians could not aspire to this intellectual task. The current lack of integration of collection development into the objectives, policies, and priorities of the library grows out of this early approach, which isolated the process of collection development from other activities and from most professionals. As the traditional pattern for collection development has shifted, two basic views have emerged on the issue of organizing collection development: one suggests that there should be a cadre of bibliographers responsible for collection development, and the other, that librarians from various departments should be assigned the responsibility of selecting for the collections. The first approach, a cadre of bibliographers, uses the past model of collection development—keep it segmented and highly specialized—but just increases the numbers involved. The second approach suggests that professionals with subject knowledge which they are applying in other activities such as reference and cataloging can also contribute to the collection development process. The inadequacy of both viewpoints is that they are presented without any examination of the library organization structure; the implied assumption being that the traditional library organization structured along divisional lines with staff assigned for the specific function is appropriate for the research library in the current environment. Instead, the assessment of collection development organization should be conducted by examining organizational design and the overall library organization first.

Organizational Design

The traditional organization of the research library has been structured around the functions of public and technical services, with collection development and administrative services dangling off to the side on the organizational chart. This divisional structure has worked relatively well in the stable environment common to libraries, higher education, and scholarly publishing up until the mid to late 1960s. In this organization, activities were clustered based on similarity as well as access to certain manual files and materials needed to perform the work. The traditional library organization creates a vertical orientation with communication, authority, and assignments flowing downward through the organization, with levels and units within levels essentially autonomous. This segmented organization creates barriers and divisions among staff that in turn generates both attitudes and ignorance that make it difficult to resolve interdepartmental problems, to understand the relationship between an individual's task and the overall mission of the library and, in addition, limits the effective use of the talents and knowledge of staff across the organization. Kantor describes the segmented organization as one in which only the "minimum number of exchanges takes place at the boundaries of segments; each slice is assumed to stand or fall rather independently of any other anyway, so why should they need to cooperate."¹ Kantor further indicates that organizations where the segmented culture and structure dominate find it difficult to innovate or to handle change. She describes three reasons why this occurs: first, segmentalism discourages people from seeing problems—or if they do see them, from revealing this discovery to anyone else (ie., the messenger will be shot syndrome); second, motivation to find a solution to a problem is absent since people are

¹ Rosabeth Moss Kantor, *The Change Masters* (New York: Simon & Schuster, Inc., 1983), p. 28.

encouraged to do what they are told and not think about improvements; and third, the biases and political conflicts of specialists tend to inhibit innovation since there is little incentive to consult with others. Many examples of segmentalism can be found in the traditional research library organization.

According to the principles of organization design, the traditional structure of the research library is functional in nature. Drucker writes that the strength of the functional organization is the clarity and stability that it offers and, initially, a high degree of economy. But he goes on to state that the functional organization eventually becomes rigid, that the staff lack an overview of the organization, and internal inefficiency develops requiring more and more managerial effort to make the operation run. In the functional organization, communication breaks down and every manager "considers his function the most important one," which reduces cooperation and commitment to the total organization. And, finally, the functional design is incompatible with innovating work.²

The functional approach involves organizing work in stages and moving the work to where the people are with the skills to perform the work. The outcome is essentially an assembly-line approach to work; in research libraries technical services work has achieved something akin to this work organization. There is no reason to assume that an assembly-line in libraries will be any more effective than it has been in other organizations; high turnover and low morale resulting in performance problems are not uncommon observations about technical services operations. The automated library environment offers more opportunities to expand a non-productive segmented environment if we do not explore alternatives.

The approach in public services has been less regimented because of the nature of the work. Those staff, though, who share similar activities and responsibilities and yet work in a variety of departments (central reference, government documents, departmental or branch libraries) do not necessarily have opportunities for interaction, contact, or decision-making; there is little interdepartmental coordination regarding quality or priorities for service. These departments are operated very much as separate fiefdoms with a structure that emphasizes vertical communication and exchange rather than horizontal or cross-divisional integration.

According to Drucker, the functional design can work effectively in small organizations and in very stable environments; the research library today is not a small organization nor does it operate in a stable environment. Change has become the common denominator for our organizations and it is not likely to be a short-lived phenomenon. Therefore, the functional design as a singular approach for the library organization is inadequate and creates barriers to organizational effectiveness.

There is a need to consider a model for organizational design that integrates rather than segments work and the staff who perform it. We should begin by focusing on what it is we want to accomplish in today's environment with online automated systems, information technology, electronic publications, as well as what is appropriate for the organization of knowledge work and knowledge workers. The focus in organizational design should shift from a vertical to a horizontal orientation, an orientation that will create intersections throughout the organization to accomplish work, communicate information, train and develop staff, resolve problems, and encourage innovative actions.

A horizontal construct suggests that staff resources will be tapped for creativity, energy,

² Peter F. Drucker, *Management: Tasks, Responsibilities, Practices*. (New York: Harper Colophon Books, 1974), pp. 559-563.

and enthusiasm, that frequent and multi-layered communication will exist, and that multiple assignments and reporting relationships will be common.

The organizational design that accommodates this is a team management approach. Kantor states that "integrative thinking that actively embraces change is more likely in companies whose cultures and structures are also integrative, encouraging the treatment of problems as 'wholes', considering the wider implication of actions."³ She says that it is in team-oriented cooperative environments that innovation flourishes. "Organizations that are change-oriented, then, will have a large number of integrative mechanisms encouraging fluidity of boundaries, the free flow of ideas, and the empowerment of people to act on new information."⁴ The strengths of the team-based organizational design, according to Drucker, is that it is receptive to new ideas and new ways of doing things, that there is great adaptability, and that it is the "best means available for overcoming functional insulation and parochialism."⁵ There are demands, though, in using the team design, that must be acknowledged and met, including a high degree of self-discipline and responsibility required of team members, and more effort to maintain clarity in communication and decision making. Finally, teams cannot get too large or they become unworkable.

The team design is constructed by drawing staff from various functional units of the organization in order to bring together a range of knowledge and skills to be applied toward specific activities or a project. Within a team, leadership is required according to Drucker not to give commands but to decide who has particular responsibility depending on the task; authority is task-derived and task-focused with the entire team responsible for results.⁶

Managers and team members will need to develop new skills as well as new attitudes in order to operate effectively; specifically, they need to learn how to use influence rather than the authority vested in a position, how to cultivate a commitment to cooperation beyond what will benefit the individual or his/her department, and to develop an outlook that is always focused on the overall mission and objectives of the library rather than the specific goals of one department or division.

The use of a team design in conjunction with the functional structure for the research library seems particularly relevant because, as Drucker states, it is likely to make the greatest contribution in organizations centered on knowledge work. He believes that knowledge organizations will increasingly have two axes: "a functional one, managing the man and his knowledge; another one, the team, managing work and task."⁷

If we agree that today's research library is an organization in which change is occurring at a rapid pace, that there are many forces affecting the shape of our organizations, and that this will continue to be our environment as far as we can see into the future, then a reconsideration of the organizational structure is appropriate. If we are to do more than rehash the same old issues regarding collection development and simply vote for one existing model

³ Kanter, *Change Masters*, p. 28.

⁴ *Ibid.*, p. 32.

⁵ Drucker, *Management*, p. 567.

⁶ *Ibid.*, p. 566.

⁷ *Ibid.*, p. 570.

over another, then we will need to step back and consider the organization as a whole and within that revised construct identify where collection development fits and what organization will contribute to results being achieved.

Criteria for designing the library organization should insure that the following occurs:

- flexibility and innovation in responding to the changing information environment without losing stability,
- timely and relevant communication internal and external to the library,
- understanding by staff of their individual work as well as the work of others,
- assignment of staff based on knowledge and ability rather than artificial boundaries of the organization chart,
- achieving the mission and objectives of the library is possible.

Within this framework, we can now turn to the organization of collection development.

Definition of Collection Development

The primary focus of collection development, until recently, has been on building collections. The scope of activities for this function is now much broader, and therefore it is suggested that collection development is too narrow a descriptor. Instead collection management, or collection development and management, seem more appropriate. The following are activities suggested as being integral to collection management:

selection (materials in all formats, gifts, exchanges)

weeding (removing materials from the collections, including cancellation projects)

preservation (identifying materials in need of preservation or conservation treatment)

faculty and academic department liaison (maintaining currency on faculty research and requirements for materials, shifts in the academic programs of a department)

reference and user education (individual specialized assistance, teaching subject-oriented seminars, developing bibliographies)

budget responsibility (developing budget request, monitoring expenditures)

writing, contributing to, collection development policies.

The focus of the collection management librarian is clearly on the building and maintaining of the collections but not in a vacuum; the orientation for the collections is toward the needs and requirements of both current and future users. In this regard, the collection management librarian has close contacts with researchers in the subject area(s) in which he/she is responsible for the collection and maintains an awareness of developments in specific fields. The collection management librarian also has to perform a number of activities that require knowledge of bibliographic sources, print and automated, and depending on the subjects for which he/she is responsible may be directly involved in gift and exchange programs. More recently, these librarians have had to include new activities and new approaches in their work such as understanding preservation and conservation of collections, and the need to identify mechanisms for resource sharing. In the latter case, collection management librarians need to incorporate a new value into their perceptions about collections, which is that access is as important as ownership. In all activities, the collection development librarian draws on both subject knowledge and language skills to accomplish this wide range of activities.

Before suggesting an organizational structure for collection management, it will be instructive to review and compare those activities considered primarily reference and technical services with those just identified as typical of collection management to assess the degree of similarity and overlap.

Reference service incorporates individual assistance both general and specialized, user education, the development of bibliographies, database searching, selection and weeding of the reference collection, and, in some situations, verification of interlibrary loan requests, coordination of specific departmental activities such as interlibrary loan and user education, and supervision of support staff. Increasingly, reference librarians are likely to have responsibility for developing new products needed by the users, such as databases to organize uncataloged resources, some of which might actually be held in small departmental collections or by a faculty member; creating and/or participating in electronic mail and conference systems in order to maintain currency on publishing and research developments among scholars, and to provide access for researchers to evolving information sources.

Reference librarians' orientation is toward the user; they know a great deal about the library needs of the group they serve and the resources available to meet these needs—they know the local collections as well as other sources of information. They also draw on their subject and language knowledge and that of bibliographic sources, print and electronic.

Technical services librarians (acquisitions, cataloging, serials) are involved in the acquiring of materials from individual publishers and vendors, maintaining manual and/or online records of orders, creating catalog records, resolving problems in the catalog (manual or online), and issues related to serial titles and receipts. In the automated environment, the technical services professional increasingly may provide online reference service drawing on their knowledge of bibliographic tools, subject and language skills and, of course, the local collections. Many may also participate in user education activities and in providing specialized reference because of their knowledge and skills. Technical services librarians also have knowledge about developments in publishing from inflation trends to new formats, demands and opportunities presented in exchange arrangements, and vendor performance; all of which are important to those involved in collection development activities.

As can be seen, a number of activities performed by librarians with primary assignment in reference, collection development, and technical services overlap. In addition, the librarians are making use of a similar set of knowledge and skills, and they draw on the same

bibliographic tools in performing their numerous activities. While they are specialists as reference, technical, or collection management librarians—or even within one of those areas a specialist such as a music librarian, a science cataloger, or an East Asian librarian—there is greater similarity in knowledge, activities, and purpose than there are differences. The similarities among these activities and the individuals who perform them, suggest that the use of the team-based design structure for the research library organization is not only possible but relevant to the current environment. While this overlap has been acknowledged in the past, the assessment has been limited to describing the situation not seeing the possibilities. Sloan⁸ described the collection development function as a "boundary spanning activity" in which transactions both intra- and interorganizational were required. This boundary spanning activity, though, is limited primarily to acquiring the necessary information (usually from manual files) for collection development librarians to complete their work. It was not boundary spanning in actually working together across divisions and departments to accomplish the work itself through teams or other mechanisms. What is needed now is the mechanism to allow the boundaries to be removed in order that the knowledge and capability of staff as well as other resources are most effectively used in serving the public.

Collection management, because it has a strong orientation for both the collections and the users, can provide the critical bridge or link to establish an integrative structure in the research library. The focus on organizing collection management should be to create a structure that will achieve the results that are desired; we need to guard against a tentative or cautious approach in which we are more concerned with disruption to the current organization and staff, or simply building a structure for collection management that parallels public and technical services.

We should begin with the assumption that the collections are central to the library's mission, and that an understanding and involvement with the collections should be integral to the activities of professional staff. As we saw from the summary of activities for reference, technical services and collection management librarians, knowledge of the collections is basic. If we also acknowledge that change and the need to adapt to change and, indeed, to be innovative, then a shift in the organizational paradigm is required.

The following is presented as a model for organizing collection management, recognizing that modification is always necessary in local environments. It is a model combining the functional and the team-based design principles outlined by Drucker.

The functional design elements require an administrator with responsibility for coordinating the overall directions, policies, priorities of collection management, and the acquisitions budget, as well as coordination with the administrators of public and technical services. The collection management administrator also has responsibility for insuring the development and training of everyone involved in the collection management activity. This puts considerable resources and responsibility within the administrative control of this individual; the resources of both the acquisitions budget (the largest budget other than personnel) and that of staff who are assigned to this activity.

The organization design should now shift to the team-based approach using a subject-orientation for organizing staff resources. The university operates around subject disciplines and the library can match this organization to best serve the university community.

⁸ Elaine F. Sloan, "The Organization of Collections in Large University Research Libraries." Ph.D. dissertation, University of Maryland, 1973.

Therefore, collection management teams should be established by disciplines: art and humanities, social sciences, and sciences. In some institutions, an international team might also be appropriate to coordinate collection management with a geographic focus encompassing the several disciplines and multiple languages.

The members of each team would be drawn from among the librarians with subject expertise. Depending on the size of the library, a key member of the collection management team would be a senior, full-time collection management librarian. This individual would assume broader responsibility for the collection management responsibilities addressed by the team.

In this organization, the senior collection management librarian or bibliographer, would not be isolated with a singular focus on a subject and faculty but would serve on a subject-based team. The individual should act to provide leadership and direction, as well as a greater depth and scope regarding collection management issues for others on the team. In addition, the senior collection development librarian should contribute to cultivating both the knowledge of collection management issues specifically and the skills needed for the success of the team. They should have a sound grasp of publishing development and patterns, pricing trends, and new fields of research. They might also work most closely with technical services librarians to evaluate vendor performance, and establish and evaluate exchange programs. Depending on the local environment, the bibliographers or senior collection management librarians, could assume management responsibilities for the subject team much as a head of reference or catalog department.

The teams would be comprised of librarians throughout the library who have the appropriate subject knowledge to serve on a collection management team. Their responsibilities should be greater than for selection of materials and, indeed, should to some extent encompass all of those activities mentioned previously as being typical for collection management: reference, user education, liaison with the faculty and academic department, preservation, etc. For the librarians who already have reference responsibilities, many of these activities are already incorporated into their daily activities only now they will have a specific subject focus. The technical services librarians who assume collection management responsibilities will be expanding the application of their knowledge and skills as they assume responsibility for faculty liaison and specialized reference and user education. (There are, of course, current situations where catalogers, in particular, are also the primary subject specialist.)

A number of positive results should occur within the team structure for collection management. One, the concentration of staff knowledge and skills within a team will strengthen each individual's own ability to perform effectively as they benefit from new information and viewpoints. The subject teams also provide a structure for regular, not intermittent, communication among those librarians with responsibility for subjects that are related, and in which both selection of materials and resource sharing, locally and nationally, should be coordinated. The subject teams should have the responsibility for developing collection development policy appropriate to their collections, and for preparing the annual budget request as well as monitoring expenditures throughout the year and requesting funding adjustments for specific subject lines. While each librarian as a member of a subject team has responsibilities to carry out activities independently (selecting and weeding materials, identifying materials for preservation, reference service) nonetheless, the team provides the context within which the individual acts.

The team approach does require that staff develop a new set of skills and orientation

in carrying out their work; initially they will have to invest effort into establishing mechanisms for communication and interaction with one another, and delineating the activities and role for the team. A limitation of the subject teams is that they are discipline specific whereas universities and faculty are emphasizing interdisciplinary research; this is not an insurmountable problem but one that needs to be recognized and addressed.

The primary objections to this structure undoubtedly will be that there will be too many librarians involved in collection management, that sufficient time will not be made available for collection management as it competes with librarians' other assignments, and collection management will not be viewed as legitimate if it operates with "borrowed" staff.

These are valid concerns but ones that should be evaluated in relation to viewing a shift in the entire organizational structure, not only collection management. First, to say that there will be too many librarians in collection management is akin to saying we have too many staff providing information and reference service. There should be as many librarians as are needed in collection management to provide the subject and language knowledge, and the resources necessary to support reference and user education, preservation and other activities that make up collection management. A small number of bibliographers cannot meet the multiple needs for large numbers of faculty and research areas, and to rely on this approach would continue to ignore the knowledge and relationships with users that other librarians have cultivated. The administrator for collection management will need to develop both skills and mechanisms, primarily through the teams, to administer and manage these diverse resources. The issue of adequate time to devote to collection management is one that is often mentioned in the literature addressing the organization issue. The problem of adequate time is one that presents itself to almost all library staff no matter their assignment; it is an organization-wide problem that needs to be addressed by establishing priorities so that librarians will know what activities are considered most important and can learn to schedule their time and energy around these priorities. There will undoubtedly be certain activities which will get less attention, or in some cases no attention, because of inadequate time but that will occur no matter what the organization structure.

The final issue that frequently arises is that collection management will not be viewed as having a legitimate place in the library if it operates with "borrowed" staff. This premise confuses authority, specifically line authority as it is represented by the number of staff reporting to an administrator, with legitimacy and influence. The legitimacy of collection management is inherent in the value that we hold for the collections. It is true that this value must be expressed in the allocation of resources, otherwise it is empty rhetoric. The acquisitions budget alone represents a considerable resource for the university and the library, thus concern regarding legitimacy seems to hinge on the issue of staff assigned to collection management. In the current functional organization that exists for most libraries, with an emphasis on staff belonging to a particular division, it is true that involving librarians from other divisions will appear to be "borrowing" staff. This is why it is crucial to review the entire organizational structure of the library to assess where and how the functional structure should be complemented by the team design. When the entire organization shifts from the vertical to a horizontal orientation, then the sense that collection management is borrowing staff should disappear. Instead librarians will acknowledge a "home base" (such as Reference) as well as their team assignments.

While the purpose of this paper is not to consider the organization structure of other divisions of the organizations, there are examples which might illustrate how the team-based

approach can indeed be applied elsewhere. The cataloging department could be organized around subject teams so that the professional and support staff would have responsibility for processing materials for a specific discipline. This would create clear links to the collection management subject teams to establish priorities regarding the processing of materials. In fact, with subject teams in cataloging some of the same librarians will serve on both teams providing an even greater relationship between one function and another across divisional boundaries. In addition, a technical services committee or team could be established with representatives from public, technical, and collection management to review policies and priorities more broadly, such as the acceptable level of a bibliographic record. This approach would allow different viewpoints and needs from the divisions to be considered, compromise to be reached, and support established for the outcome. In public services, librarians are to a large extent loosely organized by discipline, particularly where there are departmental or branch libraries; this loose affiliation will be strengthened with their participation on collection management subject teams. In addition, though, reference policies and priorities should be considered and reviewed within a team construct that once again allows for the different viewpoints and opinions across public services departments and between the divisions to be incorporated.

An organization structure that combines the functional and the team design will not, of course, make for a simple or neat organization. There will be increased demands on administrators for flexibility and a diminishing of their "absolute" authority over a specific division, and they will need to develop a new management strategy for working effectively in this fluid organization. At the same time, department heads or managers must also forego some of the absolute control that they may have exercised, and staff in general will need to cultivate new skills and new attitudes to work effectively in this type of organization.

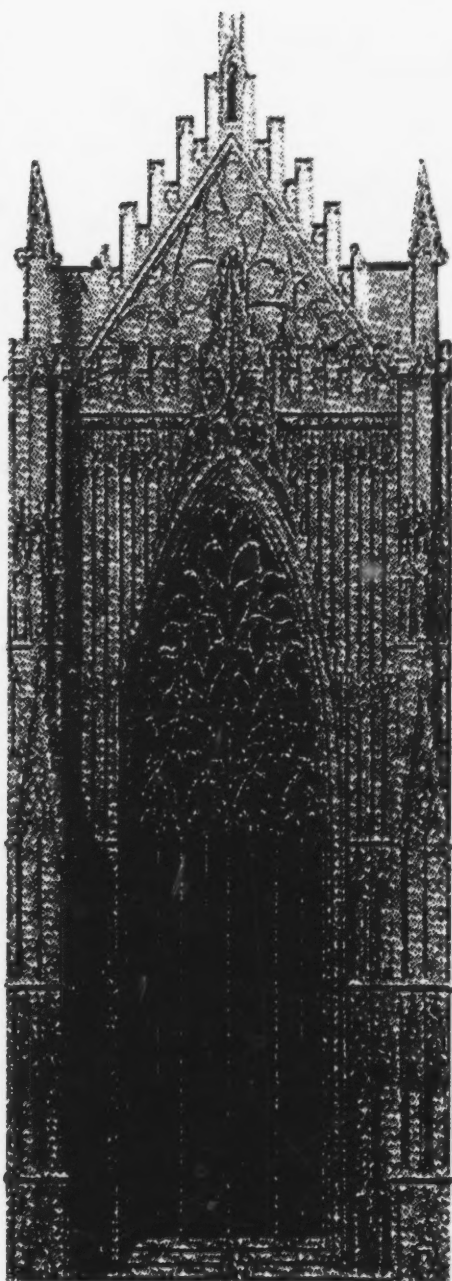
The organization of collection management and development needs to be reconsidered but to do so in a vacuum without considering the entire organizational structure will only offer us the same tired alternatives. We should move to eliminate the isolation within which collection development and those involved in it have operated, and instead integrate this activity fully into the research library organization.

Considering the forces that are acting on the library organization generally and collection management in particular, the time is appropriate to consider a revised organizational structure. In her book, *In The Age of the Smart Machine*, Zuboff addresses the multitude of issues that revolve around a highly automated work environment similar to research libraries. She suggests that the "technological transformation engenders a new approach to organization behavior, one in which relationships are more intricate, collaborative, and bound by the mutual responsibilities of colleagues. As the new technology integrates information across time and space, managers and workers each overcome their narrow functional perspectives and create new roles that are better suited to enhancing value-adding activities in a data-rich environment. As the quality of skills at each organizational level becomes similar, hierarchical distinctions begin to blur. Authority comes to depend more upon an appropriate fit between knowledge and responsibility than upon the ranking rules of the traditional organizational pyramid."⁹

⁹ Shoshana Zuboff, *In the Age of the Smart Machine: The Future of Work and Power* (New York: Basic Books, 1988).

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Session V

is stimulation of cooperative
inter-institutional and
multi-national planning
of collection development
worth the effort?

Speakers:

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Any question expressed in such contrived language as that introducing Session Five almost demands the answer "no." It reflects the somewhat confused aspirations that all too often motivate exercises in cooperation. If it is asking whether international cooperation in collection development is worthwhile, this can only be considered in the first instance in the context of experiences at national level. No one engaged in university librarianship in Britain in the post-Second World War period could describe these experiences as rewarding. Even at the local, regional level, precious few examples of success in cooperative collection development can be cited. Yet, the case for it seems so obvious: it has to be a "good thing." Generations of university administrators and academic staff discover and rediscover the great potential of cooperation. In regard to cooperative cataloging, for example, it was a matter for discussion long before the Second World War. As for cooperative acquisition, time and again in the same question has surfaced, and never more persistently than in periods of economic constraint: Do all university libraries really need to buy copies of the same books and periodicals? It is perhaps significant that the Conference on Library Co-operation in 1925, a landmark in cooperation between university libraries, was organized by the Association of University Teachers.

Collection building and collection development—more familiar to many of us in Britain as acquisition policies and book selection—has generated a very substantial professional literature. Almost as prolific is the body of publication that now surrounds co-operation. Even the most cursory glance at the index of the Library Association's *Library and Information Science Abstracts* will confirm that these are topics of all-pervading interest. In the case of collection building, this order of publication is hardly surprising. Acquisitions—collection building—remains the cornerstone of academic librarianship, among the most positive and rewarding occupations of the practicing librarian, despite the challenging diversions of the new technology. Cooperation can make no such claim: it is a creed born out of necessity, with something of the fervor of a charismatic faith. As publications proliferate, prices continue to soar, and library purchasing funds fail to keep pace, it promises the possibility of containing what seems to be a runaway situation. Moreover, the advances in the new technology seem to offer a means of realizing the possibility and give impetus to cooperative planning.

In the context of the SCONUL/ARL Conference, it is cooperation between academic libraries which is of concern, although much cooperation at the local or regional level embraces all kinds of library. There are certain facts of academic library life that can profitably be restated. The three national libraries in Britain are first and foremost repositories of the national printed and written word. They have a prime responsibility to collect material issued by and relating to their country. Much of this is secured by the Copyright Act, whereby materials published in Britain are deposited in the libraries. Beyond that they, in particular the British Library, collect in areas of current and historical interest, always building on strength and

with users' needs in mind. Comprehensiveness on a global scale has never been an objective, even of Panizzi, though scholarly representativeness has been, if only in a rudimentary form. The British Library and its predecessor, the British Museum Library, traditionally have been the "longstop" of British scholarship, and the fact that some scholars, London based, interpret it as a library of first rather than last resort, in no way invalidates this. Like all national libraries, it both benefits and suffers from the absence of a captive audience, the sounding board of success or failure of policies. As a result, its collection building rests entirely in the hands of the library staff.

There is no such autonomy in the libraries of universities and polytechnics. The former contain a large proportion of the country's research literature and, not infrequently, some of the most highly specialist. Their prime responsibility has always been to meet the literature needs of the teaching and research carried on in their institutions. This is no less true of Cambridge and Oxford, both copyright deposit libraries like the National Libraries, than it is of other university libraries, though the means of achieving it may be different. This specific requirement has been decisive in its implications for cooperative acquisition schemes in the past. University librarians are not free agents in their collection building in the way that the national librarians appear to be, and as many librarians working in the public or special library area commonly believe them to be. This fact of university library life, for long not recognized by those concerned to promote co-operation, is of fundamental importance to it. University collection policies, even in those libraries of great antiquity, are shaped by university subject development; rarely, if ever, does the reverse process apply.

Recognition of this essential element in the building of university library collections has recently been given in a dramatic way by the main funding body of universities, the University Grants Committee (UGC). Subject rationalization, the realignment of subjects within universities, has been introduced by the UGC, albeit on a small scale at present, and a number of subjects, including staff and students, are being transferred between universities. Along with the departments, library holdings are also being transferred, or at least as much subject material as reasonably can be without affecting subjects that remain. Though at present this represents only small beginnings, the importance of the development cannot be overstated. It would have been inconceivable ten years ago and it is a measure of the stringent curbs on resources available from government to the funding body. Much subject development in British universities took place in the 1960s when funding—though never lavish—was no problem. It was virtually unplanned, in many respects opportunistic and, not infrequently, irresponsible. The *Robbins Report* stimulated growth and it was not only the new universities that took advantage of it, to the extent that in the older universities long established subjects were put under pressure in libraries. The problems were compounded by the insistence on the indivisibility of teaching and research, on the outright rejection of the very concept of essentially undergraduate institutions. The Hayter Committee through its Hayter centers, recognized the problem obliquely and sought to rescue some degree of excellence out of *ad hoc* development but with questionable long-term success. To have any lasting impact there had to be direction in university development, a concept alien to British university life with its overwhelming commitment to academic freedom in all its aspects. This is now finding its place. The policy is clearly to create centers of excellence that are likely to be more efficient and certainly less costly than what was virtually random subject development on various sites.

It is against this background that university library involvements in co-operative acquisition schemes at national level have to be judged. Previous attempts to promote cooperative acquisitions in selected areas in Britain illustrate the limitations of university library

funding and underline its essential purpose. The attempt by the Standing Conference of Library Materials on Africa (SCOLMA) to secure coverage of acquisition of publications from Africa by dividing it among member institutions resulted in some libraries being required to collect materials in areas where their universities had little or no interest. Most universities had some sort of involvement in studies on North Africa and purchased the relevant literature, but only a handful of institutions could formally be allocated those areas. Drawn up in a time of comparative plenty, the scheme was vulnerable to collapse as soon as institutions found difficulty in meeting the needs of the subjects taught and researched in their university. Funds are provided by universities to meet their needs not to secure subject cover at national level. The earlier general scheme initiated in 1950 for purchasing materials published between 1550 and 1800, the so-called Background Scheme, has largely fallen into abeyance for the same reasons. Such schemes clearly assume expenditure outside the immediate institutional subject interests, and in British universities, funding has never been geared to meet such expenditure. The threat to the long-term viability of such schemes was built into them from the outset. The unmistakable message here is that in British universities cooperative collection development means the coordination of necessary acquisitions, not the acquisition of materials that otherwise may not be bought. The use of scarce funds for purchase of materials not required for teaching and research by the parent body amounts almost to culpable mismanagement of the purchasing fund in the eyes of the university. These and other problems in the history of cooperation among university libraries in the U.K. were dealt with admirably by Mr. D. Cox, former librarian of the University of Leeds.¹

Just how limited are the possibilities of cooperative collection development is illustrated further by the enforced neglect of the traditional building on strength in the present economic climate. Essentially as a result of university subject development, libraries develop considerable strengths in certain areas. It has been hitherto possible, by and large, to build positively on these strengths as the subjects have waxed and waned. This is no longer attainable in many libraries, especially in those subject areas that have spawned important subject sections within them. It has become usual to look to interlibrary loans as a solution, more precisely to the British Library Document Supply Service. To some academic staff this seems to justify their opinions on cooperative collection development: fewer libraries purchasing copies of the same items, greater dependence on one source of supply. It is rarely questioned whether this is, in fact, a false economy. Full costs of such loans are not borne by the borrowing institutions and there is no readily accessible information on the level of the concealed subsidy. However, when some years ago it was suggested that a day may dawn when the "full marginal costs" would have to be recovered by BLDSS, a shiver of apprehension went through university libraries.

Cooperation has by and large been seen in the U.K. as a means of spreading resources even more thinly, as a means of benefiting more people for the same amount of money. It is more likely to be in vogue in times of economic pressure than in times of plenty. It is widely recognized in industry that in order to save money or, rather, use resources more efficiently, to greater advantage, it is necessary to spend money. This maxim has inevitably had to be ignored by libraries and, paradoxically, the urge to cooperate is expressed most forcibly when funds are at their most scarce. In this connection it would be interesting to discover some idea of the real costs involved in the development over the last decade of the various library automation cooperatives. Shared cataloging is now a fact in British university library life. Centralized

¹ Dennis Cox, "Co-ordination Among University Librarians in the United Kingdom," *University Library History: An International Review* ed. J. Thompson (London: Bingley, 1980), pp. 170-86.

cataloging, so much yearned for in the past, may not have been achieved but many of its objectives have been, although the wider objective, promoted by the British Library and the consortium of cooperatives (the Co-operative Automation Group) in 1980, to establish a United Kingdom Library Database System, has so far met with little success. There has never been any attempt to cost these achievements in real terms. This would have been axiomatic in industry or commerce. In many respects the costs are not so much an investment in librarianship as a by-product of the immense investment by Government in the New Technology in general. Universities have not borne, at least not directly, for example, any of the costs which must have been incurred in establishing the Joint Academic Network. At present all universities and polytechnics use the network free of charge and are encouraged to do so. It now also encompasses the British Library. It has already become a crucial ingredient in the activities of the Consortium of University Research Libraries (CURL), and universities in general are becoming heavily dependent upon it. Given present attitudes to full cost recovery, it may be optimistic to assume that this largesse will continue indefinitely.

These automation developments took place when university finances were under the kind of economic pressure that they had not known since the 1950s. Yet, despite hard times, funding was found by universities for developments that utilized and promoted this new technology. It would be interesting to learn what percentage of the total budget of all university libraries this considerable investment represents. It also has to be asked how valid a comparison is this kind of cooperative activity in any assessment of the potential of cooperative collection building? One of the principal objectives in establishing CURL was "to develop common access to collections in the member libraries." If this could be achieved "it will not only lay open to researchers a very large research resource, it will also lend a new dimension to acquisitions and collection building, answer innumerable cataloguing queries and improve inter-library lending facilities."² The aim was emphatically not to save money in acquisitions, nor to achieve cooperative collection building, but to render existing acquisitions more widely accessible, to use them more efficiently. CURL is not an exercise in cooperative acquisition and collection building but in enhancing the relevance of present stock to the partners in the Consortium.

It will be evident by now that I hold out little hope of any positive contribution from British universities of cooperative collection building, apart, that is, from the directional implications of subject relocation. The conclusions and recommendations of a British Library and SCONUL Seminar on Research Collections under constraint and the future coordination of Academic and National Library provision are all too familiar. Apart from its comments on conservation and the Conspectus and substituting the British Library for the British Museum, there is nothing there that academic librarians were not alive to thirty or more years ago. Suggestions about earmarking funds by the UGC for libraries on any recurrent basis are as likely to be just as unwelcome to universities today as they were in the early 1960s and for just the same reasons. Universities will always regard with suspicion independent action by their libraries collectively, and will shorten the leash. It is easy to overlook that not only are our interests their interests, but our money is their money, and that earmarked increases in library funding could lead simply to reduced funding in universities generally. Present library funding reflects their priorities, not ours. Over the years, in both Cambridge and Oxford, the UGC and the Treasury have maintained that the grants to these universities take account of the special responsibilities of their Copyright University Libraries. It is difficult to find funding evidence

² F. W. Ratcliffe, "The Consortium of University Research Libraries," *Collection Management* 9, nos. 2/3 (1987):62.

of this in either university, both of which deny any knowledge of it. More pointedly, universities did not need a BL research project to learn of the problem of under-funding their libraries. It is well known to them and it has not affected their established priorities.

The same seminar accepted "the value and necessity of the 'conspectus' approach to all research collections and its positive and general application was strongly endorsed." I have yet to be persuaded that this will have any value at all to British university libraries; indeed, it brings yet another charge on already desperately overstretched funds. In this regard it has to be said that the British university librarian who is unaware of the strengths of his collections is either not doing his job or has inherited a library that has been mismanaged. The subject strengths should be an unavoidable corollary of the subjects professed in the university and the library subject expenditure should be a counterfoil to that. A glance at the calendar of any university will identify through the departmental listing the accessions policies of the library and those will only fluctuate according to funds available. Conversely, a day in the stacks of any library should indicate clearly the subjects taught in the university and their relative standing to any competent university librarian. I have pointed elsewhere to the difference between British and American library practice and recognize that what is true here in the UK may not be so of American universities. Nevertheless "Conspectus" seems suspiciously like a new name for a very old practice, which preoccupation with new technology may have undermined. British university libraries have been disciplined in their long history in the hard school of penury and this has determined their collection building policies. It is common nowadays to quote Carlyle's description of the library as the heart of the university. Perhaps in the context of the modern fetish of fitness and exercise, it may not be unrealistic to think that limited financial nourishment has been conducive to good library health.

This may seem a very negative response to an Anglo-American initiative. I am, however, convinced that no measure of cooperation in collection building, national or international, will amount to anything more than a short-term palliative. It only constitutes a continuation of the treatment and it is overwhelmingly clear that at most, even if successful, it can barely contain the contagion. Cooperative collection building is concerned with the symptoms not the disease itself, and in a century which has turned over and over again the issues in seminars, conferences and the literature, the time seems long overdue for a radical solution. At a recent meeting of the Copyright Libraries, the present problems of handling the current published output in the UK were discussed. The forecast for the next decade is that the present total output of about 60,000 items will rise to over 90,000 by the end of the century. Since the introduction of the British National Bibliography in 1950, British new titles have risen annually by about 1,000. The upward spiral for the next decade, now already in evidence, bears no relation to the output of the last thirty years. It excludes desk-top publishing and similar innovations. The phenomenon is unlikely to be peculiar to Britain. Some other much more radical solutions to what is developing into bibliographically uncontrolled growth must be found. Since the problem is international, it is susceptible only to an international solution. It is for this reason that I welcome this meeting. There is cause for genuine alarm in the present situation which threatens soon to get out of hand. If this conference made one positive gesture in the direction of a solution, then the rest of the world would take note.

I am fully aware of the problems that are as numerous as they are complicated. I am also fully persuaded of the solution. In 1966 I circulated a paper to the senior staff in the University of Manchester that made proposals not dissimilar to those of Bernal and others from 1946 onwards. There was enthusiasm for them among these staff but they were less enthusiastically received in an application for a grant for a pilot scheme by OSTI. Since it

required external financial assistance, the project was not pursued. The simple truth is that information generation has become confused with information publication. Ease of publication, the professional need to appear in print, relaxed editorial and refereeing practices, and not least the readiness of librarians to buy, all aid and abet the growing crisis. Over ten years ago, as Librarian of Manchester University, I estimated that publication in periodical form ensured that for every two articles genuinely required, twelve had to be bought. In 1984 in Cambridge, with its much larger intake of titles, I considered that for every two articles required twenty were acquired. Perhaps the most positive news in recent time is the decision of American libraries to boycott purchase of certain British periodicals on grounds of price. If we all did that the situation would change very rapidly.

This is not the time and place to rehearse Bernal's views or my own paper of twenty-two years ago. The new technology offers not only the means of rapid publication, it offers means of storage and retrieval of materials which, if properly refereed and adequately supported by abstracting journals, should have all the status of the published word. Much that is published today appears in print because the facility is there, a fact endorsed savagely by the *Science Citation Index*, crude though that measure is. At the risk of being repetitive, I again cite the experience of the Crystallographic Data Unit based in Cambridge. For twenty years their proceedings have been conducted via computer networks; only their index appears in print. This not only recognizes the high degree of specialty and its remoteness from general users, but it achieves a currency and efficiency unknown in almost any other area of scientific scholarship. It cannot be the only scientific area where such a technique could apply. In 1984, the President and Editor of *Science Citation Index*, Eugene Garfield, wrote in the August issue of *Current Comments* that "while the average scientific paper is cited less than one time each year over a 20-year period, less than one in 10,000 will be cited over 500 times." In 1943, *Chemical Abstracts* took up 7 inches of shelf space; in 1983 it consumed over eight and a half feet—all two volumes of it. The cumulative index occupied 75 volumes. *Biographical Abstracts* in that year was producing fortnightly issues, each weighing 4 pounds (nearly 2 kilos). The acquisition costs of these materials are daunting in themselves: if the processing costs are added, their very worth is called into question.

Again, at the risk of further repetition, Gladstone in his article in the *Nineteenth Century* which was so severely criticized by the new professionals of his day, foresaw it all. "Already," he observed, "the increase of books is passing into geometrical progression" and he speculated on the impossible "dimensions for the libraries of the future." He did not recommend cooperative collection building but "book cemeteries" with a function all too reminiscent of Boston Spa. Were he alive today, there is little doubt that he would seize the opportunities offered by the new technology. It would not only restore currency to literature, but it could also restore respectability to the printed word and, in passing, circumvent many problems of preservation. It would eliminate once and for all the futile argument in universities of the centralized versus decentralized library, an argument not broached in this paper but containing the essence of the university teachers' views on cooperative collection building. To the book trade, it would be anathema; to the young and rising academic, it would need selling with a great degree of understanding; to the librarian, it would be the end of decades of futile grappling with cooperative collection building.

MARTIN D. RUNKLE

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The assigned topic for this session is in the form of a question: Is stimulation of cooperative inter-institutional and multinational planning of collection development worth the effort? I read this topic to my wife, who is not a librarian, and her response was, "I don't know, but that sounds pretty kinky to me." In any case, I will not deal with the fine distinction between the stimulation of something and the actual doing of it. If the activity is good, we can assume that stimulation of it is also good.

Since we are nearing the end of a very full conference, I assume that you would be enormously grateful if I were brief. Mr. Bloomfield's response to the capacity of Pooh Bear's mind reminded me of the saying that the problem with a small mind is that once you put a big idea into it, there is no room for anything else. Well, library cooperation is a very big idea. I am afraid that causes me a problem.

I remember being involved in a heated argument in a tavern many years ago when I was a graduate student—an argument that almost led to a fist fight. The argument was about whether or not Thomas Hardy is a fatalist, or a pessimist—I cannot remember which. At some point, I hope early on in the discussion, I realized that the argument was not about Thomas Hardy's philosophy, but instead was about the definition of fatalism. I do not know why library cooperation reminds me of Thomas Hardy; perhaps it is those endless gloomy walks back and forth over the heath in search of one's destiny. In any case, I must offer some definitions.

First, I am talking from the point of view of a university research library, though I am aware that some members of ARL and SCONUL are not in this setting.

Though a distinction can be made, I am not making a distinction between cooperation and coordination. I am assuming that coordination requires cooperation and vice versa.

I equate effort and cost. Asking if something is worth the effort is like asking if it is worth the cost. The basic question is whether there are workable schemes of cooperation in collection development whose benefits outweigh the costs.

Our discussions here in the last few days assume that information in hard copy will continue to be a mainstay of our collections for many years to come and that new information storage media are not going to render our discussions moot. We are all trying to deal with these new media and make them available to our users, but our print collections are not going to go away and will continue to be of primary importance. I am concentrating here on print collections.

Our goal as research librarians is to provide needed information for our users. Obviously none of us can collect and own every source of information that might be needed by our users, and therefore we establish arrangements for obtaining documents on demand from external sources. As librarians we make judgments about what we will hold locally for fast, easy access and what we will not hold locally but instead will obtain from external sources as needed. We share resources in order to increase the amount of information that we can make available.

We usually think of two patterns for sharing collections. Examples of one pattern are the United Kingdom's Document Supply Centre, and the Center for Research Libraries in the United States. The other pattern is decentralized, whereby libraries borrow from one another. Either pattern is a cooperative venture, regardless of the source of financial support. In the decentralized pattern, cooperation involves supplying materials in a timely way to people outside one's primary user group. This activity is a form of cooperation even if the add-on costs are totally subsidized by outside funds restricted to this purpose.

Another aspect of providing needed information to our users is preserving the collections that we have accumulated. The decision to preserve an item is a selection decision, though the decision process itself is usually more complex and more costly than a decision to acquire a new title. When an item requires a preservation decision, the various options must be identified—the options for treatment or replacement, possibly by copying the original, or for not replacing and instead acquiring it on demand if needed by a user in the future. The holdings of other libraries and existing resource-sharing agreements will affect the decision. Preservation is an integral component of collection development, though I gather that preservation has not reached the critical stage in the United Kingdom that it has in the United States.

In its simplest form, sharing of collections does not necessarily involve coordination of collection development. It can merely be the sharing of whatever you happen to have collected in trying to satisfy your own local needs. The notion of sharing collections is not new. Union catalogs and published descriptions of library collections have existed for hundreds of years. The primary motivation behind the compilation of union catalogs was, and is, the sharing of materials. The better the information about materials held elsewhere, the more effective the sharing. Online files of bibliographic data have greatly facilitated the sharing of collections by providing up-to-date information and rapid communications capabilities. The reliability and responsiveness of interlibrary lending today puts resource sharing in a context that is very different from that of twenty years ago, a context that demands a reassessment of previous conclusions.

Although cooperation in the sharing of collections does not necessarily require or lead to cooperation in collection development, informal coordination among two or more institutions in order to provide the maximum amount of information in the aggregate of all the participating libraries is fairly common. Most of us know personally of successful interinstitutional collaboration regarding who will collect what, usually expressed in broad terms. Aside from such agreements, it is an unusual bibliographer who, when making a selection decision, does not take into account the collection strengths and specific holdings of other libraries to which his users have access. There may be more of such passive coordination of collecting than we realize. It is a by-product of arrangements for resource sharing.

The more difficult issue is the feasibility of more formal, more systematic, and more planned and deliberate programs of collection development aimed at substantially increasing the total stock of a group of cooperating libraries. I know there are earlier examples of attempts to put such plans in place, but I am always attracted by the rhetoric of William Warner Bishop, writing in 1940:

If we face an uncertain financial future, it is all the more reason for planning collectively rather than going on as if there were every possibility of indefinite expansion for every library. . . . Library policies of acquisitions . . . have been generally quite independent of other than purely local demands and considerations. . . . We can survey the field and, having discovered what

specialties have been developed in certain libraries and in certain regions, can urge their continuance and amplification. . . . We have in published lists some information as to library specialization, but we have as yet no comprehensive survey of the printed materials for research in the country as a whole. Specialization is the sole practical means of insuring that coverage of the significant printed literature of the subjects of research which seems a pressing responsibility of American libraries.¹

There is a great difference between, on the one hand, the informal, natural, and almost accidental coordination of collection development that occurs quite commonly once reciprocal access has been established, and, on the other hand, a larger, more structured, and more formal program, such as that envisioned by Mr. Bishop. If we proceed to explore and plan these more formal programs, there are certain facts and requirements that we should keep in mind. I have five facts and one requirement for your consideration.

The first fact is that universities compete with one another. We compete with other institutions for supremacy in our work of education and research. This involves competition for faculty, for students, for resources, and for prestige. A plan is unlikely to work if it is perceived as giving one institution an advantage over another in this competition. Even when all institutions in a group of institutions are supported by funding from a single government, the institutions maneuver and jockey for position. We see this in our state university systems in the United States. And I am sure it is true in the United Kingdom as well.

I am reminded of an example of a proposed cooperative collection development enterprise put forth by a former bibliographer at my library. The bibliographers from the ten or so North American libraries with the strongest collections in this bibliographer's subject area were meeting to discuss cooperation in collection development. My bibliographer put forth the proposition that each of the libraries contribute a certain amount of money each year and give it to the University of Chicago. Chicago would buy the materials, and the scholars from the other universities could use them any time they wanted to. Clearly this plan was not workable.

The second fact is that local needs must have priority in developing the local collections. This is a fact of our real world. Collection development arrangements that develop informally usually involve no obligation to collect and preserve an item that a library would not normally collect or preserve to satisfy its own local needs. More highly structured plans that are proposed usually involve an obligation to collect or preserve an item for the good of the whole, not because it is wanted for the local constituency. Such an arrangement will not work if local priorities must be sacrificed for an abstract world of scholarship or, more specifically, for the benefit of scholars at other institutions.

If some categories of materials are collected at a level that is inappropriately out of balance with other segments of the collections, the added level must be totally subsidized by external sources that are restricted to this purpose. Aside from how it is paid for, a central repository as a mechanism for sharing certain kinds of materials has the advantage of not favoring one institution over another, at least in terms of accessibility.

The third fact that must be kept in mind is that university libraries will continue to acquire and own a large amount of material. The research and scholarship that take place at

¹ William W. Bishop, "The Responsibility of American Libraries for the Acquisitions of the Materials for Research," in *The Acquisition and Cataloging of Books*, ed. William M. Randall (Chicago: University of Chicago Press, 1940), pp. 50-563.

a university are greatly influenced by what is in the local collections and is therefore easily available. The work of even very dedicated scholars can be guided by ease of access. It is an imperative of our academic culture that we work to build local collections that can support various avenues of research. This does not necessarily mean comprehensiveness in any particular area, nor does it imply a goal of self-sufficiency.

The fourth fact is that cooperative collection development is not likely to reduce costs, and after what I have learned in the last three days, I would say that this is particularly true in the United Kingdom. Nor does cooperation usually result in cost avoidance, because in most cases we could not in fact afford to incur those costs we supposedly are avoiding. Cooperation in collection development, even the informal variety, can allow us to provide materials for our users that we would not otherwise be able to provide.

The fifth fact is that, in the context of resource sharing, no university library can consistently give substantially more than it is getting in return, unless the excess is fully subsidized.

Though we are nonprofit organizations, we are not charitable organizations. In terms of compensation or cost/benefit ratio, no library should be in a position of sharing its collections and bearing the costs of doing so without a fair return in the form of materials received or of direct payment. Altruism has no place in the equation. At the same time, we must keep in mind that short-term losses may be tolerated for the sake of long-term gains, and that we must not be so intent on cost analysis and on keeping score that we burden ourselves with an unbearable overhead of record keeping.

Those are some facts, and now I will state a requirement for the success of cooperative collection development. Since access to a broader array of materials is the reason for cooperative collection development, we must provide effective access. The requirement is for comprehensive bibliographic access and speedy delivery among cooperating libraries. Only when these are in place can we truly test the limits and the optimal design for coordinated collection development. Large libraries worry about increasing the differential in their net lending. As I understand the plans for CURL, the burden on the large libraries will surely increase if the database contains only their holdings. Our experience in North America was that when the holdings of smaller libraries became known through the large national databases, the burden of the greatly increased interlibrary loan traffic was significantly rearranged, with many smaller libraries becoming net lenders. In 1986-87, the University of Illinois, which is the third largest university library in ARL, reported that it was a net borrower, having lent approximately 130,000 items while borrowing approximately 158,000 items.

Certainly there are substantial costs associated with automation of bibliographic control and interlibrary communication, but they will eventually become standard expectations of our users.

And this leads to a more careful analysis of today's question. The assigned topic includes two questions: (1) Is interinstitutional cooperation in collection development worth the effort? The answer is yes, though not on so grand a scale as William Warner Bishop proposed. (2) Is multinational cooperation in collection development worth the effort? Probably not, though we might consider expediting access to certain kinds of materials, on a cost-recovery basis.

If we accept the concept that preservation is integral to collection development, we have two more questions: (3) Is interinstitutional planning for preservation worth the effort? The answer is a resounding yes. (4) Is this true at the multinational level? I think yes. Given the cost and volume of page-by-page copying, we should try not to duplicate this cost. Reciprocal

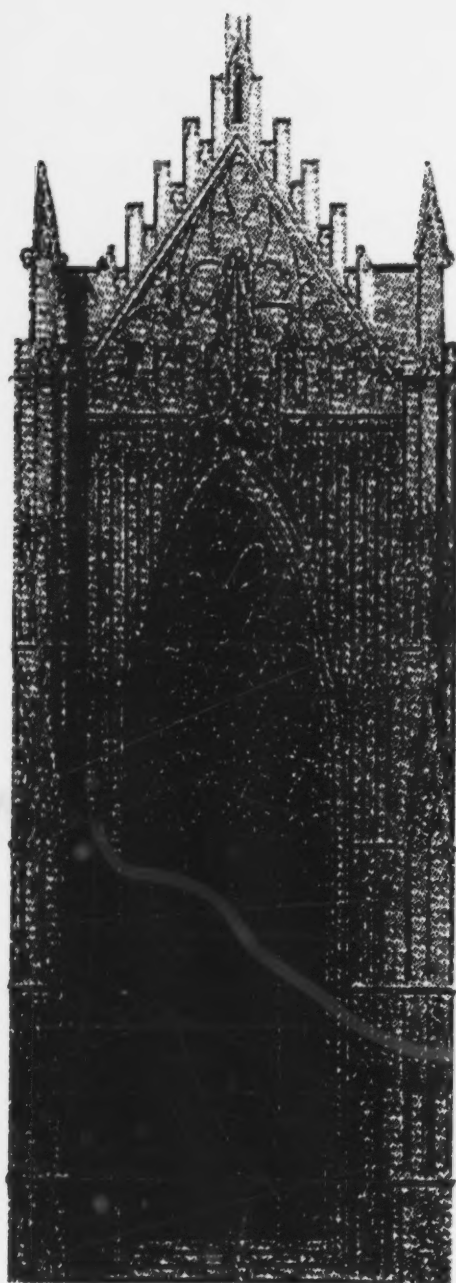
arrangements for securing copies of microfilms might be mutually beneficial.

If we accept the concept that successful cooperation in collection development and preservation requires that the cooperating libraries have ready online access to bibliographic records and holdings information, then we have at least two more questions: (5) Is inter-institutional planning for providing access to bibliographic and holdings data of other libraries worth the effort? The answer is yes. (6) Is this true at the multinational level? I would say yes. I will close with another quotation from William Warner Bishop, again from the article he wrote in 1940 proposing a scheme for a national cooperative collection in the United States:

[The librarian's] part in this noble enterprise is a great one. If he seizes it, if he rises to the opportunity, he can and will deserve well of his country. If he leaves the leadership to others, he will deserve the reproaches of his successors.

What of the future? What may an American scholar of, say, 1970 confidently expect in the way of service of the materials for research? He may, I am sure, be certain of locating any printed book he needs, or a microfilm copy of it, in any one of four or five great regions in the country. . . . He may be sure also either of having the book itself or of having a photographic copy of it within two or three days if it is not found in his own library. . . . He can be sure that . . . the important books and journals now printed on wood-pulp paper are reproduced in permanent photographic copies available either for use or for recopying. In short, he will have at his disposal within a reasonable time all the world of print so far as it has been preserved in libraries. To this end we must work. It is not an idle dream. It is a cold reality. Our American scholars need this material. It is our job to supply it.²

² Bishop, 57-58.



Closing

summary and comments

Speakers:

Charles E. Miller
Florida State University

Michael Smethurst
British Library Humanities and
Social Sciences Division

CHARLES E. MILLER

Director of Libraries
Florida State University

It is my pleasure to present a brief summary of this joint meeting of SCONUL and ARL. It has been a most delightful opportunity for ARL to visit in York with members of SCONUL. On a personal note, I must confess the only problem I encountered here in England was—I couldn't get ice in my tea. In Florida we drink ice tea all day long in large quantities. When I ordered ice, the waitress brought hot tea and ice, which instantly melted when I poured in hot tea. Other than that it was a perfect meeting.

Since we are meeting in a classroom on a college campus, I might ask you at this time to take out a sheet of paper and take a pop quiz. The test would require that you select four or five words or terms that come to mind that would best represent to you the best sense of what we learned from this conference. As I prepared my comments, I did just that. The words that occurred to me were: commonalities, economics, planning, Conspectus, and differences. You can then grade your own papers and note where we agree and differ as I go along.

In our papers and discussions we have not identified a right way or wrong way. The differences that we encountered stimulated our thinking about what we are doing and how. By sharing ideas and experiences (both successes and failures) we allowed ourselves to learn from each other. We identified common and diverging themes that went, in many instances, far beyond basic collection development to the entire realm of library services.

We have so many common interests and experiences that the differences tend to stand out—chiefly, the tendency towards national planning in U.K. versus the tendency on the other side of the Atlantic towards state and regional planning, although there appears to be emerging interest and satisfaction with regional cooperation in the U.K., too. The British Library Document Supply Centre, a national structure, appears to have worked well over here, whereas our efforts to develop a National Periodical Center in the U.S. were not successful. Will these trends and tendencies continue or change? What will influence or determine these changes? and, What effect will we have on those changes?

It seems to me that the agreement about the usefulness of this meeting indicates that we should find ways to continue to exchange information about our experiences. In this way we might gauge the ebb and flow of trends of development and decisions affecting library services elsewhere, and apply that knowledge at home in re-examining our own plans.

I would like to share a few thoughts that brought those five words to my mind as I have reviewed this conference and tried to fix a correlative for this meeting. Perhaps you will recall others.

Commonalities

1. We share the realization that there are no quick fixes, no easy solutions to the problems facing us in the many aspects of collection development

and related areas. As Vice Chancellor Forty indicated, although we perceive lots of money will solve our problems, we cannot expect that to happen. Rather, we must take radical measures.

2. It appears that we realize the need to explore the solution to at least some problems through international efforts. Fred Radcliffe identified a developing problem related to our discussions—bibliographically uncontrolled growth—and he also suggested radical solutions must be found. He further stated the problem is international and therein lies the solution.
3. While new technology is being explored to improve services and access, it has also generated problems related to scholarly communication and preservation. We face a challenge to exploit more effectively developing technology and to find ways to better serve the scholar through, for example, speedier delivery of information.
4. There is a recognized need to exchange information, and we can learn from the efforts undertaken on different continents.
5. We have reaffirmed both in ARL and SCONUL that, as Brian Burch indicated, "self-sufficiency is now an unattainable goal."
6. Both organizations desire and are seeking ways to link systems.
7. SCONUL and ARL members have attempted cooperative acquisition programs but with only modest success.

Economics

1. Funding sources favor cooperative activity, as it appears we have discovered on both sides of the Atlantic.
2. In today's financial reality—an environment of limited funding—research libraries can increase their effectiveness only with imaginative and careful management, but also with great difficulty, as Graham Hill described.
3. We are equally concerned and severely impacted by the escalating periodical publications prices on both sides of the Atlantic.
4. We agree that microfilm preservation records need to be linked and shared, that preservation is most important, and, as Michael Smethurst indicated so effectively in his remarks, there is insufficient funding for preservation.
5. We have identified significant differences in our attitudes towards funding research library services.

Planning

1. Regional agreements have proven to be an effective approach to resource sharing by members of both SCONUL and ARL.
2. Both association's members recognize the contradiction between the library's efforts to share resources and the scholars desire to have a definitive collection available locally.
3. We agree that we need to seek new ways to plan for and deal with the proliferation of publications.
4. Both SCONUL and ARL libraries maintain written collection development policies in order to manage collection development effectively.
5. Members of both organizations agree that we must pursue the principle of open exchange of bibliographic records within the library community.
6. We appear to differ somewhat in our attitudes and practices toward planning for cooperative programs.

Conspectus

1. Both organizations have employed the Conspectus with varying degrees of success and satisfaction.
2. More libraries appear to appreciate the Conspectus after they have completed it, and staff view the Conspectus more positively after its completion than before undertaking the task.
3. The mutual fear about the Conspectus before its employment is due to anxiety regarding cost, time, and labor concerns.
4. The feelings at both extremes—like and dislike—about the Conspectus are very strong.

Differences

1. We appear to agree that resources sharing is necessary but we do not agree on how to do it, or for that matter, on exactly how one defines resource sharing. Brian Burch told us that it is like a jigsaw puzzle—all the parts are there and now we need to put them together. And I would add that *only* we can put them together.
2. There appears to be agreement that there are no existing valid models for resource sharing and that we must develop them.

3. As indicated earlier, we tend towards treating library funding and planning differently on each continent.

I hope an obvious conclusion is that, throughout this week, we found ourselves alike more often than not—and as well, more often in agreement about problems facing research libraries rather than in disagreement. The only remaining questions to ask ourselves are: What have we accomplished? And what should we do next?

In response to these questions, I would say that, first, I believe we have a better understanding at each other's practices, orientations, and personalities. Second, we have identified some common problems and successes, many common interests, and very few differences. Third, we reorganize we need to begin to share more information and work together. And on that note let me propose that we establish a liaison between the SCONUL staff and the ARL staff in order to prepare for a regular exchange of information of interest to both associations.

Finally, those of us in ARL wish to have an opportunity to return the warm hospitality we have enjoyed so much. On behalf of the Association of Research Libraries, I extend to SCONUL and all its members an invitation to meet with us again, but this time in North America, perhaps Washington, D.C., and as soon as possible given your existing schedules and plans. We will look forward in meeting with you again. In the meantime, when any of you do come to the U.S. or Canada, please give us a call. You have all of our numbers in the packets of information you received.

In closing, I would like to say that the following words come to my mind relating to this meeting. On the personal experience, guest-host relationship side: understanding, warmth, hospitality, candor, openness and willingness to discuss concerns, and flexibility. We especially appreciate your willingness to stretch SCONUL's fall meeting to four full days.

Our meeting was useful and enjoyable and we look forward to meeting again and working together. And as we say in the Deep South, "Y'all come see us, y'hear!"

MICHAEL SMETHURST

Director General
British Library Humanities and Social Sciences

I am sure I speak for all of my colleagues in SCONUL when I say how much we have enjoyed and appreciated ARL's visit. It has been a breath of fresh air to us in SCONUL to hear some of the views from the other side of the Atlantic, put so eloquently and so wittily. I thought, as I was listening to the papers on the first day, my goodness, we have a lot to learn on how to present these important issues effectively and with a great deal of good humor. I would like to thank all of ARL's speakers enormously for the great enjoyment they have given to me personally, and I am sure my colleagues would echo that in the way they have presented their papers.

In my view, resource sharing, at the practical level, so often relies on what we in Britain call the "old boy network," and we are very good at the "old boy network." Most of our resource sharing has come about because Joanie knows Fred, and Fred knows Sam, and between them, they have managed to sort out the problem. It often works in our libraries just like that, and has always been of a great benefit to us. This meeting has extremely successfully extended our old boy network to the other side of the Atlantic. We are very grateful for you for coming over and giving us the opportunity to make you part of our network. It is one of the most practical networks that exists, it has lasted for a long time, and it will go on long after all of our technical networks have ground into the dust. It has been a splendid opportunity to improve our definitions, as you said, Charles, and to insure that we have a common working dictionary between ARL and SCONUL, especially one which appreciates that what we thought were common definitions can be somewhat different concepts from time to time.

Sheila Creth learned painfully during her hiking activity prior to the meeting the meaning of the word "screes." Some of us have learned less painfully that many of our assumptions about American life are not terribly accurate, and that some of our definitions mean quite different things on each side of the Atlantic. But while libraries are libraries on both sides of the Atlantic, they are often as different from libraries in our own countries as perhaps Cambridge is from Keele. I say that because there is a rumor going around the conference that Fred Ratcliffe is about to desert Cambridge to become a library manager at Keele, but I am assured that that is not true.

Our problems are, however, very common problems. There are problems with faculty, as you call it, with our academic staff, as we prefer to call it sometimes, and its relationship with the library. There are problems with funding. There are political problems which we all face in getting resources into our libraries, both through our institutions and through our funding systems. There are problems of adapting to automation and the heavy demands that that makes upon our resources and upon our ingenuity to make it work for us, rather than for the automation specialists. The twin crises of collection development and conservation are also a common problem.

We all agree, on both sides of the Atlantic, that we are in a period of very profound change, and that we must seek new solutions. I believe even Fred Ratcliffe would agree wholeheartedly that we can achieve positive change if we unite as professionals and pull together as librarians, proud in our profession, to convert our dreams and visions into very practical sets of achievements. As you say, it is not our dreams and visions that are wrong, it is the difficulty of how we get these converted into practical realizations and policies.

In my most pessimistic moments, I believe that libraries, as the disseminators of knowledge and, I hope, of wisdom to our communities, are much too important to our society to be the playthings of administrators, and to be the sole responsibility of our universities. My faith in universities' responsibility towards their libraries has been very sadly shaken over the last ten years. It seems to me that very often in Britain, the universities have been almost complete in their dereliction of the principles upon which many of them were founded.

The libraries may still be the responsibility of our scholars, and I hope that will long remain. As John Forty said at a previous seminar in Coventry when we were looking at the problems of funding and resourcing British University Libraries, libraries are everyone's second priority—an absolute clear truth of the matter in British universities. This is part of the problem that we face in our university world and with our resource masters. They remain, however—and I am firmly convinced of this—the first priority of librarians, and we must never lose that first priority and allow someone to make us believe that they are second priority. We have the solutions in our hands, if we care to use them.

In many ways, we in Britain have long worked closely with American libraries. We have much in common, with our open access libraries, our Anglo-American Cataloging Rules, the concepts of our catalogs, and our general view of library development. While we in Britain are now very firmly part of Europe, looking towards our Continental neighbors for greater rationalization and greater coordination, and working together on the joint enterprise that some of us hope to see of a common European cultural library distributed in all the old research libraries but made available by network access, we are, at the same time, making a very strong beginning toward a bridge between Europe and the United States.

We are seeing the logical development of record interchange, compatibility between systems, and access between ourselves and the United States almost every day of our working life. The recent agreement between the British Library and OCLC offers a great deal of good for an even better access to each other's records. For many years in the British Library, we have been working on an international project with our American colleagues, the *Eighteenth Century Short Title Catalog*. One of our future plans is to work together with the Americans on the construction of a machine-readable *Short Title Catalog*, using the STC and the Wing collection to create a continuous record in machine-readable form from the beginning of printing through the end of the 18th century, and possibly beyond that, at a later stage.

We have, in this country, considerable automation potential with groupings of CURL and the Copyright Libraries working together to resolve some of our difficulties. I am sure that there is room for close cooperation between these subgroups and our colleagues in the United States.

We have in preservation a great deal of contact already with the United States. Again, in the British Library, we are putting together a serious contribution on this side of the Atlantic and in Europe towards a National Register of Microform Masters, which will record our conservation efforts. We are working closely in the British Library with the other Copyright Libraries to this end, and we are putting our records through into the RLIN database.

The questions that we must address, however, in the future, are very real ones, and they

are questions of the sort that the organizers of this conference might well have put forth. They are complex questions, difficult to answer. How do we achieve practical resource sharing? What should we be doing as organized groups on both sides of the Atlantic to take these matters forward?

I see a number of key issues. One of them is periodical pricing. I would hope that as a result of this joint conference, we shall actually start to work together very clearly on a practical course of action, which will take up some of the points of our very useful joint discussion on periodical pricing and what librarians can do about it. This is a very practical matter that both SCONUL and ARL might pay practical attention to between our organizing committees. We need a joint statement. We need joint action. But it will not be easy. As Fred rightly said this morning, it is going to be a difficult job to convince our faculty that we are cancelling material because it is in our own best interest in the long-term.

We should press ahead, also, on the very practical matters relating to common policies in preservation, and how we link our preservation efforts with those of the United States. We both know that the problem is too great for us to tackle separately. If we continue to tackle it separately, it will overtake us, and we will be left with a weakened resource in our libraries. I would like to see a joint program between SCONUL and ARL towards the development of an agreed way of inputting data to National Registers of Microform Masters which can be linked. Such a program would tackle the problem of how we put sufficient information into our library catalogs so that when they are available online or through CD-ROMs, or whatever form we choose to use in the future, we have tagged into that record, in a MARC format, sufficient information for us to pick up either what has happened to that text, or what the library is going to do to that particular copy in the form of preservation. It is a very simple matter, but we need international agreement upon the tagging and the structures that we will put in our records to make them readily available in relation to individual titles as we see them in our catalogs.

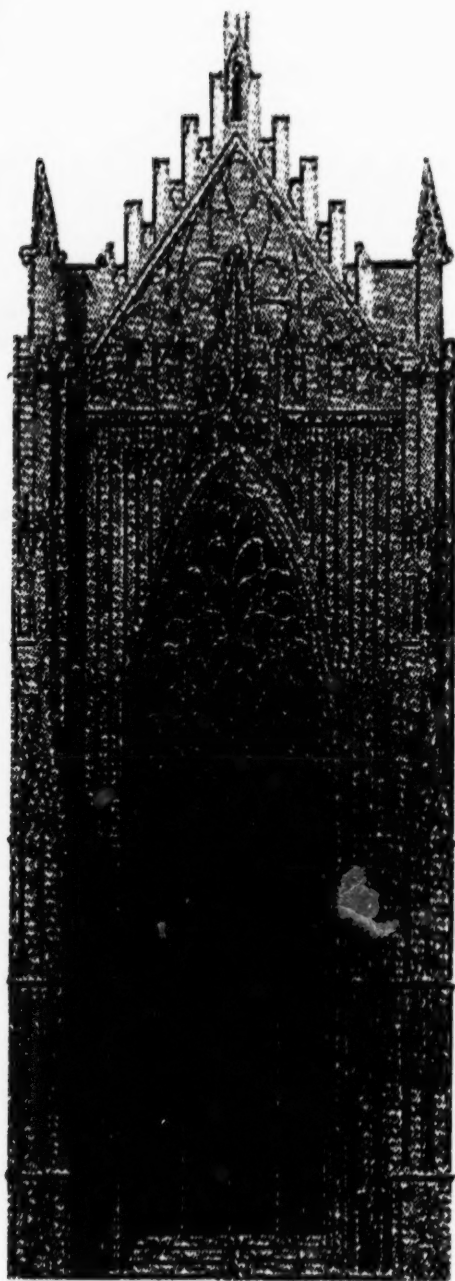
We need, too, to work together on data exchange of catalogs, and I would like to see some contact between our own automation working party and your automation groups, at least at the exchange of information level.

Another aspect is the Conspectus. We have to keep working on that project. We know it is not popular, but I believe it is a tool that offers much for the future. Many people will deny this, but it is worth persevering, rather than dropping altogether. I hope that we will achieve a much wider British and European input into the Conspectus, so that we are working on a truly international database for the Conspectus which recognizes the differences between British law and American law. It already recognizes the differences between British history from a British point of view, and British history from an American point of view. These matters have to be tackled, and should be tackled resolutely by committees working on both sides of the Atlantic.

Finally, the political aspect. We have learned much from ARL in the past. Tony Loveday was reminding us over breakfast this morning of a conference some years ago, at which the Council looked at the future of SCONUL and how it should go forward. Much of the work that we did that weekend was based upon ARL's mission statement. We had a very useful weekend. We fulfilled much of our program, though not as well as some of us would have liked, and, as in all program fulfillment, there have been a lot of compromises on the way. Obviously we are now looking at the possibility of a further think tank in another year or so of how SCONUL should go forward. We are looking, too, with our colleagues in SCONUL, towards the creation of some sort of strategic statement about the way we see libraries developing over the next five to ten years and the principal problems that we have. This

statement will be to our funding masters, to the University Grants Committee and to the various government ministries that need to know these things.

There would be a great deal of value, as we have suggested, in as much sharing of information as possible between our two groups in order to extend our political vision and wisdom about how we deal with these problems in the future. We have a program that we can work together on, and I would love to hear reactions from colleagues about the possibility of a much greater extension of information-sharing and resource-sharing between our groups, as well as between our libraries.



appendices

APPENDIX A

SUMMARY OF BUSINESS MEETING

[The ARL Business Meeting was held on Monday, September 19, 1989, at the Royal York Hotel, prior to the SCONUL/ARL joint conference. The gavel was passed from ARL President Elaine Sloan to ARL Vice President/President-elect Charles Miller during the final program session on Thursday, September 22.]

Elaine Sloan (*Columbia University*) convened the meeting with a brief report describing her year as President of ARL. She highlighted three challenges undertaken by the Board: selection of a new Executive Director, overseeing development of a new fiscal management system, and initiating a planning process for ARL.

1989 Dues Proposal

Ms. Sloan asked ARL Executive Director Duane Webster to present the report describing the proposal from the Board for a dues increase of \$825 (13.4%) for 1989. Mr. Webster described the thorough Board review of the budget, the pattern of dues increases, and the priorities for fiscal control. He also reviewed the development of a budget model for ARL that reflects spending by programs or capabilities. He characterized the 1989 proposal as a transition budget with only minor shifting among the nine present capabilities of ARL. The proposed budget is designed to put ARL on sound financial footing to maintain and strengthen current capabilities; new initiatives are not included.

When the budget proposal was sent to members in August, Ms. Sloan invited comments from all members but especially from institutions that would not be represented at the Business Meeting in England. Letters from three institutions were received; two were supportive of the proposal and one expressed concern. The substance of these letters was described, as was the Board's response.

Mr. Webster concluded by noting that the dues and budget proposal did not address how ARL will rebuild a reserve fund or allow for flexibility in responding to unanticipated events. Strategies for these matters are being developed by an ARL Task Force on Financial Strategies, chaired by David Bishop.

Ms. Sloan reported that the Board was convinced that the financial systems now in place were sound, that the Executive Director had provided the Board with the kind of information it needed to develop a balanced budget in support of the basic services expected by members, and that the 1989 dues proposal is necessary to support such a budget. She opened the floor for questions and discussion, reminding members that the vote would occur subsequently by mail ballot, because a number of ARL member library representatives were unable to travel to York.

The first speaker praised the new shape given to the budget proposal as a helpful presentation of information and asked for elaboration of the proposed reconfiguration of staff positions in the Executive Office. Mr. Webster itemized the current positions and the need to strengthen ARL's ability to fulfill a role as spokesman for research libraries, particularly within the scholarly and higher education communities. The proposed budget includes the addition of a part-time mid-level staff person to accelerate a communication program and a part-time senior level staff person to work with the Executive Director and Assistant Executive Director to respond to overtures for collaborative efforts from groups such as the American Council of Learned Societies (ACLS), EDUCOM, and the Association of American University Presses (AAUP). These staff changes essentially restore ARL staffing to pre-1988 levels, and do not represent an expansion of present capabilities.

A member asked if the net effect of the 1989 proposal is the same as recent annual payments when dues and special assessments are added together, and if this level of dues is enough to carry out ARL's mission, or if more increases are anticipated in the next few years. Ms. Sloan stressed that the 1989 budget is a transition budget that is designed to support existing services only, and noted that the Task Force on Financial Strategies is addressing the need for financing new programs, rebuilding a reserve, and ensuring flexibility. These needs are not addressed by the 1989 budget. Mr. Webster added he was committed to a budget for ARL that supports basic membership services and that will not require mid-year supplemental payments.

David Bishop (*University of Illinois*), Chair of the Task Force on Financial Strategies, reported the Task Force's concern with rebuilding the reserve fund and increasing ARL's flexibility to respond to opportunities and responsibilities that arise. He noted that standard accounting practices require three months' operating expenditures to serve as a minimum level of operating reserve. The current ARL reserve equals roughly one month's expenditures.

A member spoke in support of the budget proposal and to the importance of moving systematically to restore the reserve fund in the near future.

Ms. Sloan was asked to clarify the meaning of the 1989 proposal as a transition budget. She responded by emphasizing the Association's current precarious financial situation and reiterated that the 1989 proposal moves ARL to sound fiscal footing for provision of (only) basic services. She reminded members that a revision of the ARL Plan is underway and that the conclusion of that review, and a new financial strategy, will be considered by the membership next spring. The 1989 proposal is a transition in the sense of a bridge year between the present and 1990, when the new Plan and financial strategy are to be implemented.

A member commented that ARL had been slowly drifting into financial difficulties and thanked the members of the Board for taking steps to address the problems and for moving to reverse the trend. He expressed agreement with the Board that this increase in dues is necessary.

There was a question about where OMS expenses were reflected in the depiction of ARL capabilities. Mr. Webster explained that the ARL annual contribution to OMS is part of the Management Services capability. Also, part of that capability provides support for the meetings and work of the Committee on the Management of Research Library Resources and a portion of ARL general and administrative expenses (spread among each of the nine capabilities).

A member acknowledged that while the dollar increase was not significant, he was concerned about the percentage of increase and whether it might set a precedent for future dues increases. He asked if the Board had addressed the consequences of a more modest 4%

dues increase. Ms. Sloan reported that the new budget model would provide the framework for making such choices, and added that the Board was convinced that without the \$825 increase in dues services to members would suffer.

A member inquired about the state of the reserve fund and if ARL had the capacity to borrow money should this be necessary. Mr. Webster reported that the sizable deficits of the last two years had seriously drawn down the reserve (to a level of \$150,000) but that borrowing funds had not been contemplated. It was noted that there were two aspects to the questions of the reserve fund—rebuilding it and maintaining it. Mr. Bishop described the three levels of the fund as contemplated by the Task Force: (1) a cushion for routine operations, (2) a source for funds to respond quickly to opportunities, and (3) a level of funding sufficient to generate additional income.

A member spoke to the 1989 proposal as an important step in moving from a history of financial struggle to financial stability. She spoke of recent accomplishments by ARL and argued for acceptance of the proposed dues as an investment in an organization that has potential for assisting members to make critical strategic choices for the future of research libraries.

[In a subsequent mail ballot, the 1989 dues proposal was approved by the membership.]

Election of New Board Members

Charles Miller (*Florida State University*), ARL President-Elect and chair of the Nominating Committee, reported that the following persons have been nominated to serve three-year terms on the ARL Board of Directors: Ellen Hoffmann, York University; Charles Osburn, University of Alabama; and Thomas Shaughnessy, University of Missouri. There were no additional nominations from the floor. In addition to Mr. Miller, members of the Nominating Committee were Joseph Rosenthal, University of California, Berkeley, and Irene Hoadley, Texas A & M University.

[The results of the election conducted by mail ballot were overwhelmingly in favor of the three candidates proposed by the Nominating Committee. Ellen Hoffmann, Charles Osburn, and Thomas Shaughnessy were elected to serve as of February, 1989.]

Consideration of Potential New Members

Merrily Taylor (*Brown University*) reported on the work and recommendation of the Ad Hoc Membership Committee. She reviewed the process used to evaluate candidates, indicating this was the first application of the new membership criteria adopted in May 1987. The committee was extremely thorough in applying the new criteria and worked with the Board in interpreting the guidelines and resolving questions of process. As a member of the Board as well as the committee, Ms. Taylor presented a recommendation from both groups to the membership to extend an invitation for membership in ARL to the University of Illinois, Chicago.

There was no discussion of the candidate under consideration. There were, however, a number of questions about the informal process of inquiries from potential members. It was noted that ARL does not seek new members but will respond to informal inquiries. Only after a preliminary analysis of data indicates that a library meets the quantitative requirements for

membership does a formal review process begin. Ms. Taylor described the steps taken to determine if the qualitative criteria are met. In response to a question she assured members that characteristics other than volume count, such as alternative formats, are considered.

[In a subsequent mail ballot, the ARL membership approved the recommendation to invite the University of Illinois, Chicago, to join the Association.]

Report on Federal Developments Concerning Preservation

In the coming fiscal year National Endowment for the Humanities Office of Preservation will initiate a multi-year plan to support coordinated preservation activities on several fronts. For FY1989, a significant increase in funding, from \$4.5 million to \$12.33 million, will be distributed among projects to:

- preserve brittle books, serials, and other types of library materials (includes national consortial projects and major projects in individual research libraries);
- support the preservation, on a state-by-state basis, of United States newspapers;
- preserve special humanities collections;
- increase resources for the education and training of preservation personnel;
- enhance other preservation activities, including regional information and consultation services; state planning projects; research and development; and conferences.

Final appropriations for the Library of Congress include funds sufficient to double the number of volumes the Library will preserve on microfilm next year. Work proceeds with testing DEZ and securing bids for construction of a mass deacidification facility.

The ARL Board applauded preservation advances by sending a resolution in support of the Commission on Preservation and Access and official kudos for Congressman Sidney Yates and NEH Chair Lynne Cheney.

Humanities in America

Lynne Cheney's report, *Humanities in America*, has generated considerable discussion within the humanities community. While libraries are mentioned only in passing, the exchanges that resulted from this report shed light on matters of concern about research trends and specialization in scholarship that are relevant to research library collection building and service programs.

FBI in Libraries

ARL received a response from FBI Director Sessions which reiterated the intention of the FBI to proceed with the Library Awareness Program in New York City. The letter confirmed FBI pursuit of contacts with librarians nationwide who may have information about "known or suspected hostile intelligence service officers and co-optees." The letter did not mention ongoing efforts to seek legislative authority that would allow FBI agents to compel libraries to provide information without a court order and prohibit the revelation of the transaction. Under such legislation, staff in libraries would have to choose between violating federal law or library policy, and they could not reveal their quandary. ARL and others have opposed such legislative authority.

LC's American Memory Program

Ellen Hahn of the Library of Congress announced the availability of an LC concept paper on the American Memory Program that is contemplated for next year. The program includes the use of advanced technologies to duplicate currently unavailable portions of LC's collections of American history and culture for distribution in many types of libraries and schools.

APPENDIX B

Association of Research Libraries

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REPORT ON ASSOCIATION ACTIVITIES

June 1988 - August 1988

This activity report follows a format that conforms to the framework of ARL capabilities introduced last spring. The purpose of the report is to acquaint the ARL Board of Directors with the range of activities recently undertaken by staff and members in pursuit of ARL objectives. Wide distribution of the report to the entire membership is intended to encourage discussion of present and prospective roles and activities of the Association. Selected activities are highlighted below.

- 1987-88 ARL Statistics, Salary Survey, and Preservation Statistics underway, p. 2.
- "Linked Systems" papers published, p. 2.
- 83 members to be represented at York Membership Meeting, p. 3.
- 1989 dues recommendation by ARL Board, p. 3.
- Visiting Program Officer program launched, p. 5.
- ARL Legislative Contact Network activated, p. 5.
- ARL Briefing Package on FBI in Libraries issued, p. 6.
- ARL contacts with scholarly societies, p. 7.
- ARL Briefing Package on Serials Prices issued, p. 8.
- Status of Serials Prices Project, p. 8.
- Status of North American Collections Inventory Project (NCIP), p. 9.
- Third Institute on Research Libraries for Library and Information Science Faculty conducted, p. 9.
- Resource Management Institute: Financial Skills for Librarians scheduled for October, p. 10.
- Status of National Library of Canada Inhouse Training Program, p. 10.
- SPEC activities, p. 11.
- OMS Training Activities, p. 14.



I. Internal Operations and Membership Relations

L1 Statistics

Questionnaires for the 1987-88 ARL Statistics and ARL Annual Salary Survey were issued. The schedule for the two publications follows:

ARL Statistics, 1987-88

- August 5 - Questionnaire distributed to membership.
- October 7 - Deadline for returning questionnaire to ARL Office.
- Oct. 7-Dec. 15 - Verification of data, including calls to member libraries.
- December 1 - Preliminary tables issued. These tables will be the rank order tables of the data elements that comprise the index, and will include the data reported to ARL as of that date.
- January 15 - Publication issued.

1988 ARL Annual Salary Survey

- July 15 - Questionnaire distributed to membership.
- August 31 - Deadline for returning questionnaire to ARL Office.
- October 15 - Preliminary tables issued.
- December 19 - Publication issued.

This year ARL member libraries are encouraged to submit their salary data on a floppy diskette using LOTUS. It is anticipated that this will reduce data verification and production time significantly.

The 1987-88 Preservation Statistics questionnaire was distributed in July. Returns are due on October 14, 1988, and a report will be issued in spring 1989.

L2 Communication

This capability keeps ARL members current regarding issues and developments of importance to research libraries, informs the library profession at large of ARL's position on these matters, and educates academic and scholarly communities concerning issues related to research libraries.

Issues Nos. 139-141 of the ARL Newsletter were published in March, June, and August. Two more issues will be published in 1988.

Normally, two issues of the Minutes of the Meeting are published each year, the Minutes from the previous year's October meeting, and the Minutes of the May meeting. The minutes of the program session from the October 1987 meeting are being edited by Jan Merrill-Oldham, consultant to the Preservation Committee, and publication is expected this fall. The papers for the May 1988 program on "Linked Systems" were issued as a separate publication in August. The Minutes from the May meeting will be published by the end of 1988.

The following four communication projects have been identified as desirable for future development. Actual scheduling of these projects will depend on the resources available. The first project is development of a new format for the ARL Newsletter. It is anticipated this can be undertaken in 1989.

The second project is an ARL information packet containing a series of brief summaries of current issues ARL is addressing, as well as the history and current structure of ARL. The format is expected to be one that can be updated easily and geared toward particular audiences. A consultant has completed the first draft of the packet, and work will continue on the project through the fall. A related booklet, ARL Information 1988, was prepared as an interim step.

A third project is an orientation package for ARL directors. This package would be designed to give directors new to the Association information on the background, governance, and operations of ARL, based on the information currently provided (much of it orally) at the Orientation for New Directors given in the fall.

Finally, a descriptive booklet covering member libraries is being considered. The office is frequently asked for information about member libraries. This booklet would pull together information about ARL members, possibly including special collection strengths or facilities, that would be useful in describing member libraries to individuals, groups, and agencies.

L3 ARL Membership Meetings

This capability is aimed at developing programs on topics of interest to ARL membership, scheduling and managing meetings and activities, coordinating on-site arrangements, and evaluating meetings.

Plans for the Fall 1988 ARL membership meeting in York, England were advanced with the assistance of a Joint ARL/SCONUL Program Committee chaired by Penny Abell. The theme of the meeting is "Collections: Their Development, Management, Preservation, and Sharing." The opening session is scheduled for 3:00 p.m. September 19, 1988 and the closing session will end at 12:30 p.m. on September 22. Optional tours of the British Library, Document Supply Centre at Boston Spa, the Borthwick Institute, and Castle Howard are scheduled on September 21-23. As of September 1, 83 institutions will be represented at the meeting and 35 will not be represented.

L4. Governance of the Association

This capability encompasses identifying issues and context for member consideration, and supporting member involvement in governing ARL.

The ARL Board of Directors met July 24-26, 1988 and approved the 1989 budget proposal and the 1989 membership dues recommendation. Discussion of the dues increase is planned at the York Membership Meeting. A mail ballot will be distributed subsequently. The 1989 dues proposal is \$7,000 per member, an increase of \$725. A description of the proposal was sent to members in August. Minutes from the Board meeting were distributed to members on August 20, 1988. The ARL Executive Committee met on July 23-24, 1988.

The ad hoc Membership Committee completed its deliberations and forwarded a report to the Board for consideration at the July meeting. The Board accepted the report and its recommendations. A report of the recommendations will be presented for discussion at the York Membership Meeting. A mail ballot will be conducted subsequently.

The ARL Planning Process was advanced. A Task Force on Review of the ARL Five Year Plan began work. Members include James Govan, Marilyn Sharrow, Elaine Sloan, Duane Webster (ex officio), and Kaye Gapen, Chair. Preliminary discussions were held with the ARL Board reviewing directions being taken by the task force.

The Task Force on Financial Strategies, established by the Board in May, held its initial meeting in July. Members include David Bishop, Chair, Carlton Rochell, Peter Freeman, Elaine Sloan, Charles Miller, and Duane Webster (ex officio). The chair made a preliminary report on long-range financial concerns to the Board at its meeting in July.

In addition to these two task forces, there are six standing committees and fourteen liaisons supported by ARL staff. Status reports on committee activities follow:

Committee on Government Policies: Chair, James Wyatt; Staff, Jaia Barrett
1988 Agenda of issues: adoption of Statement on Principles, government information policies and practices, FBI library awareness program, funding for preservation action, and federal funding for library programs.

Committee on the Management of Research Library Resources:
Chair, Sul Lee; Staff, Jeffrey Gardner
1988 Agenda of issues: development of a technical services study, design of a strategy for future office services, review of training needs of research libraries, and consideration of library education initiatives.

Committee on ARL Statistics: Chair, Tom Shaughnessy; Staff, Nicola Daval
1988 Agenda issues: collecting and displaying comparable data on government documents collections, guidelines for dealing with material in shared storage facilities, and developing access measures.

ARL Committee on Bibliographic Control:
Chair, David Bishop; Staff, Jutta Reed-Scott
1988 Agenda of issues: program on Linked Systems at May meeting, development of policy statement on bibliographic control of preservation microform masters, and monitoring of the National Coordinated Cataloging Project.

ARL Committee on Collection Development:
Chair, Peter Freeman; Staff, Jeff Gardner
1988 Agenda of issues: serials prices initiative, disposition of the NCIP, and initial examination of the larger question of the future of scholarly communication.

ARL Committee on Preservation of Research Library Materials:
Chair, David Weber; Staff, Jutta Reed-Scott
1988 Agenda of issues: extension of the NRMM project to include serials, a project to develop a national preservation database, collection of 1987-88 Preservation Statistics, and review of minimum guidelines for preservation in ARL libraries.

An invitation to ARL members to nominate staff to participate in a visiting program officer project prompted several inquiries. In October, the ARL Executive Office will begin work with Diane Smith from Pennsylvania State University on two projects: identifying innovative library programs for delivery of government information in electronic format, and developing an outline for an information policy/federal relations workshop for academic librarians. Plans for an OMS Visiting Program Officer from the National Library of Canada are underway. Interviews are scheduled for September and contingent on approval from the Treasury Board of Canada, a librarian will arrive as an intern/trainer in OMS in November.

I.5 Management Program Support

The report on the activities of the Office of Management Services is included in section III of this report.

II. External Relations and Project Support

II.1 Federal Relations and Information Policy Development

ARL Legislative Contact Network

The ARL Legislative Contact Network was activated on three matters during this reporting period: (1) support for increased funding for the NEH Office of Preservation, (2) support for LC preservation activities, and (3) support for the JCP/GPO Plan for Electronic Products in the Depository Program. Response to all three requests for contacts with federal legislators was quick, impressive in volume, and effective in registering the interest and positions of ARL libraries.

Preservation Issues

On August 9, Paul Gherman, Duane Webster, Jaia Barrett, and Carol Henderson (ALA Washington Office) made visits to key Congressional offices to discuss preservation of research library resources. Support was specifically directed to LC's proposal to double its preservation microfilming output. Also stressed was the urgent need for libraries to have access to LC's DEZ mass deacidification process at reasonable prices.

During the development of EPA regulations on government use of recycled paper, environmental groups advocating the use of recycled paper challenged library and humanities groups' positions on permanent paper. The exchanges have generated a General Accounting Office review of federal agencies' use of recycled paper that includes an assessment of the extent to which recycled paper meets standards of permanence. In June, Jutta Reed-Scott, Mr. Webster, and Ms. Barrett met with GAO investigators engaged in the study to elaborate on library concerns that government publications of lasting value should be printed on permanent paper. Also attending the meeting were John Hammer, Executive Director of the National Humanities Alliance and Charles Kalina, Special Projects Officer at NLM.

FBI in Libraries

In May ARL Directors adopted a Statement on Library Users' Right to Confidentiality. This statement has formed the basis for continuing efforts on the part of the ARL Office to protest the FBI's Library Awareness Program and other counter-intelligence activities in libraries. ARL Briefing Package 1988-1, FBI in Libraries, was developed to assist in local efforts to educate library staff about library confidentiality policies and to alert administrative officials to the FBI initiative. The briefing package was also useful in responding to numerous media contacts to the office about the FBI program.

In June, Duane Webster represented ARL at a hearing of the House Judiciary Subcommittee on Civil and Constitutional Rights to describe the nature of the FBI visits to libraries as reported by member libraries and to protest the FBI "fishing expeditions in libraries." Also in June Mr. Webster wrote to the Director of the FBI requesting: (1) that he stop any FBI programs or initiatives that allow an FBI agent to ask broadly based, opened-ended questions of library staff about the use or users of libraries; (2) that he describe the proper procedure for FBI agents to follow when pursuing a specific investigative lead into a library, including securing a proper court order; and (3) that he make information available that explains the steps a library or university might take to file a complaint about an FBI agent who has behaved outside the scope or spirit of the Bureau's authority in libraries. A response from the FBI has yet to be received.

In August, Mr. Webster responded to questions about FBI access to library records that were directed to ARL from the House Select Committee on Intelligence.

Government Information

Government information questions continue to arise. In May, Jaia Barrett filed comments with the Office of Technology Assessment on a draft of that agency's report on dissemination of government information. Ms. Barrett also worked with GPO and the depository library community to develop a list of libraries to serve as resource centers for implementation of the first test of a CD-ROM format product in the depository library program. The ARL Legislative Contact Network generated useful comments from ARL libraries on the JCP/GPO plan for electronic formats in the depository program. ARL comments on a Department of Commerce draft policy statement on dissemination of electronic data are based on the ARL statement of principles for government information in electronic format adopted by membership last May.

The ARL office has continued to monitor developments surrounding NTIS including legislation to establish NTIS as a government corporation (HR 4417). In July ARL written comments were filed as part of the record of House Energy and Commerce Subcommittee on Commerce, Consumer Protection and Competitiveness consideration of HR 4417. The comments reiterate ARL's assessment of sci/tech clearinghouse functions that must be preserved as government functions and ARL's opposition to privatization of NTIS.

HEA II-C

HEA II-C regulations were published in May reflecting substantially all of the comments made by ARL libraries during the revision and comment period last winter. A list of HEA II-C awards for 1988 and application forms for 1989 were distributed to members in August.

II.2 Relations with Scholarly, Higher Education, and Library Communities

This capability includes monitoring activities, analyzing developments, providing responses, and initiating action on selected issues. There is a major interest in expanding and enhancing activities in this area.

Activities during this period included ARL Executive Director participation in the Board meeting of the National Humanities Alliance. ARL staff are contributing to plans for a December meeting of the Alliance that will focus on federal policy issues of concern to the humanities community. Conversations were conducted with the Executive Secretary of the American Council of Learned Societies concerning future ARL working relationship with ACLS. OMS staff conducted a survey of publisher practices in the use of permanent paper for the American Association of University Presses. Duane Webster is serving as a member of an OE task force planning a conference on the structure needed to support future research in librarianship. Jaia Barrett attended a meeting of the EDUCOM Network and Telecommunications Task Force to discuss federal relations strategies and policy questions of EDUCOM's proposal for a National Network. Duane Webster participated in a meeting of a profession-wide advisory committee meeting convened by Springer Verlag in conjunction with the ALA conference in New Orleans. He also participated in a review of Council on Library Resources plans for continuing education for librarians. ARL staff attended the SSP meeting in Boston in June.

At a luncheon held during the July 24-26 Board meeting, Librarian of Congress James Billington and the ARL Board discussed a number of topics of mutual interest, including: preservation, strategic planning, shared cataloging responsibility and cataloging standards, foreign book acquisition, interaction on collection development, and the scope of LC's collections and services.

II.3 Access to Scholarly Information Projects

This capability is related to establishing, funding, and managing selected projects to achieve the ARL mission of enhancing access to scholarly information resources. There are three major access projects underway.

1. National Register of Microform Masters (NRMM) Recon Project:

ARL in cooperation with the Library of Congress has established a project for the conversion of the approximately 460,000 monographic reports in the NRMM Master File. ARL received the necessary funding from the Office of Preservation of the National Endowment for the Humanities (\$500,000 and \$328,755 in matching funds) and \$290,000 from the Andrew W. Mellon Foundation.

The contractor for the conversion, The Computer Company (TCC), searches NRMM reports against its database and derives or creates records that meet detailed project guidelines. Staff at LC are responsible for the quality control of records produced by TCC. As the project proceeds, LC's Cataloging Distribution Service will make the records available on tapes, at cost, and without restrictions. The production schedule has been adjusted from the targeted completion date of February 1989 to December 1989.

TCC has been producing records since November 1987. As of June 30, TCC has converted 48,970 records. Also, the accuracy rate has improved. LC quality review approved approximately 10,000 records that had previously been returned to TCC.

On the subject of conversion of NRMM Serials files, the Board agreed at its July 24-26 meeting that ARL should indicate to the Library of Congress that it would like to pursue participation, provided that funding for the project will cover ARL administrative costs.

2. Serials Prices Project:

In August the ARL Briefing Package 1988-2, Rising Serials Prices and Research Libraries was distributed to the membership, selected publications, and scholarly associations and societies. The package included a discussion of the issues related to the rapid rise of serials prices, including the impact on libraries and scholarly communication. It also suggested a number of possible actions that might be taken by individual libraries, groups of libraries, the scholarly and academic communities and scholarly publishers to alleviate the problem in future years.

A second major initiative in this area is the development of an analytical project intended to produce a report which would include a statistical analysis of serials prices aimed at determining causes among factors such as currency fluctuation, production and distribution costs, and profit motivation. ARL has contracted with Economic Consulting Services, Inc. (ECS) of Washington, D.C. to carry out the analytical portion of the study and data about a selected number of scientific and technical journals is expected to have been collected by the end of September. ECS is also developing cost indexes for journal publishing in the United States, Great Britain, Germany, and the Netherlands which will provide the basis for evaluating the appropriateness of price increases in the past, present and future.

3. North American Collections Inventory Project:

This project is administered by the Office of Management Services. See p. 9 for status report.

IL4 International Relations

This capability covers monitoring activities, maintaining selected contacts, identifying developments on issues of importance to American research libraries, and sharing experience of North American research libraries that may contribute to development of research libraries internationally.

ARL plans to meet in England with SCONUL as part of a joint meeting as described elsewhere. ARL staff will did not attend this year's summer IFLA conference in Sydney, Australia.

OFFICE OF MANAGEMENT STUDIES

ASSOCIATION OF RESEARCH LIBRARIES

1527 New Hampshire Avenue, N.W., Washington, D.C. 20036 • (202) 232-8656

III. Office of Management Services (OMS)

III.1 Separately Funded Projects

A. National and Regional Cooperative Collection Development Program: In June 1984 the Andrew W. Mellon Foundation funded a three year project to continue the work of Phases I and II of the North American Collections Inventory Project (NCIP). The \$220,000 grant supported the development of training resources, a materials distribution center, and the support system needed to coordinate the participation of ARL libraries in NCIP.

Activities of the past six months have focused on planning for the ongoing operation of NCIP beyond the period of the Mellon grant. The OMS will continue to provide training resources and project documentation to participating libraries and will continue to publish NCIP News. In addition, the Office will begin to serve as an agent for non-RLG ARL libraries in having their data entered into the Conspectus On-line. These activities will be carried out on a cost recovery basis. The Office will also continue to organize and sponsor meetings of the NCIP Users' Group at ALA meetings.

Software for application of D-Base III to local library uses of the Conspectus is currently being tested at several ARL libraries and it is hoped that distribution will be available this fall.

Finally as NCIP moves toward operation on a cost recovery basis, the Advisory role for the project will shift from the NCIP Advisory Committee to the ARL Committee on Collection Development.

B. Third Institute on Research Libraries for Library and Information Science Faculty: The Council on Library Resources announced in July 1987 the award of a grant to the Association of Research Libraries to conduct a third Institute on Research Libraries for Library and Information Science Faculty.

The purpose of the Institute is to continue the process of strengthening relationships and understanding among research library staff and the teaching faculty in library schools. The 1988 Institute examined the question of library school curricula as they relate to research libraries' collection management programs.

The grant of \$45,000 supported the conduct of a two-week series of seminars, discussions and briefings in research libraries for 11 faculty. The Institute was hosted jointly by the University of Chicago Library and the University of Chicago Graduate Library School from August 15-26.

The Institute included seminars led by ARL directors, collection development officers, preservation specialists, and bibliographers. In addition, discus-

sion meetings were held with the Provost and selected faculty from the University of Chicago and site visits were made to the University of Chicago, Northwestern University, The Center for Research Libraries, the Newberry Library and the University of Illinois, Chicago Library. A report on the Institute is being prepared for the Council on Library Resources and copies will be made available to ARL member directors.

III.2 Core OMS Programs

Research and Development Program (Activities aimed at developing funding proposals and new OMS services or supporting study of special issues)

A. A proposal for a Preservation Administrator Training Program: With the encouragement of the National Endowment for the Humanities, a proposal for helping research libraries establish a preservation program was prepared by OMS staff, reviewed by the Management and Preservation Committees and approved by the ARL Board. After the proposal was submitted in May 1986, the Endowment asked the OMS to resubmit the proposal after building in added options for securing academic training. A revised draft was reviewed and approved by the Management and Preservation Committees, and was submitted to NEH December 1, 1987. The proposal seeks funding for the training of 5 preservation specialists in consulting skills, and for the conduct of the Preservation Planning Program in another 10 ARL member libraries. If the proposal was accepted in August 1988 and the project will begin in the fall of 1988.

B. Resource Management Institute: This Institute has been designed and will be offered for the first time in October 1988. The program will follow the budget cycle of a library to explore the process of monitoring, analyzing, and managing financial resources. Forecasting, presentation techniques and budget development will also be covered. Publicity for the new Institute including location information appeared in early July.

C. A Study of Professional Staff Turnover in Research Libraries: This study was conducted in response to the ARL Management Committee's desire to improve understanding of the demographic characteristics of research library staff. Of 106 libraries receiving the survey, 98 responded. A preliminary report was mailed to all directors, and a final report will be published in late 1988 as an OMS Occasional Paper. This paper will address turnover rates as they relate to size of staff, geographic regions, and population density, and will help libraries assess employee retention conditions and project staff recruitment and replacement requirements.

D. Inhouse Training Program: OMS staff have been working with the National Library of Canada in the development of an ongoing, inhouse training capability. The Project has built on OMS experience with its Consultant Training Program and includes several components. These include: an assessment process for selecting library staff with skills and competencies required to be effective trainers; a one-week training the trainers workshop for selected staff; a training practicum experience for the selected staff; and a series of basic management and supervisory skills workshops for all supervisors in the National Library, as well as a series of one-day orientation workshops for non-supervisory staff. The program was conducted in a bilingual environment, in both English and French. Office staff plan to develop a generalizable program for development of training capabilities, based on their experience at the National

Library of Canada. The National Library and the OMS have developed a one-year internship in which a Library staff member will work with OMS as a trainer, providing the National Library staff with a developmental opportunity and the OMS with additional staff capabilities.

E. ARL/OMS Conference Showcase Booths: Projects and staff of nine ARL member libraries were featured during the ARL Library Showcase Exhibit at the August American Library Association Annual Conference in New Orleans. The showcase, coordinated by SPEC, was continually busy over the four days of the exhibits as people stopped by to look at displays illustrating a variety of projects and activities, including special collections and artwork from a New Orleans jazz archive and Black Civil Rights research center (Tulane University); a preservation education videotape (Johns Hopkins University); and two slide/tape shows, one on research libraries and international development (Washington State University) and one on a Greek /UD exchange program (Kent State University). There were also several participatory activities: librarians tried their hand at learning library skills using an online CAI program (Wayne State University), and they attempted ergonomic exercises coached from a floppy disk (New York State Library). Other displays illustrated library support of university research (Pennsylvania State University), and end-user database searching program (Rutgers University) and a research library residency program (University of Michigan).

Amid the heavy activity, evaluations from participants are pointing to benefits of participation in the showcase for a library and its staff. For instance, libraries have raised the level of their visibility by informing others of their programs and they have been able to evaluate programs by discussing them with others experienced in similar programs. Staff have gained experience with one-on-one presentations, and also have received recognition for their successes.

III.3. Academic Library Program (activities related to conducting institutional studies and consultations at ARL member libraries).

During this period, eleven projects were in various stages of operation by ARL members:

- * Preservation Planning Program Studies: University of Pittsburgh, University of Wisconsin,, University of Southern California, National Agricultural Library
- * Public Services Studies: Dartmouth College, York University, McGill University, and University of Pittsburgh
- * Leadership Development Programs: Wayne State University, University of Nebraska, University of Toronto, Oklahoma State University

IV.4 Systems and Procedures Exchange Center

A. Research and Publications Completed

i. QUICK-SPEC Survey on Serial claiming Procedures. An ARL member has requested a QUICK-SPEC Survey of 39 targeted libraries on their serial claiming procedures. A one-page survey asking for copies of written materials was distributed in mid-May, and results were made available to interested ARL members in mid-June.

ii. Confidentiality of Library Records. In a record-setting short time, 10 ARL members responded to a SPEC request on ALANET for copies of their policies on confidentiality of library records. Nearly all of the policies were received via ALANET or by FAX, which enabled SPEC to respond quickly to a request for such policies from a midwest library. ARL members can request a copy of the 10 policies from Maxine Sitts.

iii. AAUP Task Force/SPEC Survey on Permanent Paper -- Preliminary Results. The interest scholarly publishers and research libraries share in book preservation and use of permanent paper is being explored in a current SPEC survey. As reported in the June ARL Newsletter (No. 140, p. 14), the Task Force on University Press-- Library Relations of the Association of American University Presses (AAUP) asked SPEC to assist in designing and analyzing a survey on their members' use of permanent paper for publishing. John D. Moore (Columbia University Press), chair of the task force, reported on the progress of the survey at the AAUP meeting in Cambridge, Massachusetts in late June.

From the preliminary results, it appears that most AAUP members specify the use of permanent or alkaline paper in the manufacture of many of their publications. Fifty-six presses have responded to date -- slightly over half the AAUP membership; 95% of the respondents indicated that they use permanent or alkaline paper for some of their publications, and 56% of the respondents use permanent paper for all books. Two-thirds of the respondents announce in their books that they use permanent paper, while only one-third note that fact in catalogs or other mailings.

SPEC is collecting a list of paper suppliers used by AAUP members and a chart of all respondents' answers and contacts. A more complete report on survey results will be made available when additional responses are received.

iv. Toward Telecommunications Strategies in Academic and Research Libraries -- 10 Case Studies: Local area networks; integration with parent-institution networks; alternatives to telecommunications-based remote database access (CD-ROM, BRS/Onsite); and links between library systems. The focus is on management and planning issues. STATUS: IN EDITING/REVIEW.

v. Turnover Rates. STATUS: IN DRAFT

vi. Library Fundraising and Development. STATUS: IN DRAFT

vii. Qualitative Methods for Reference Evaluation. STATUS: IN FINAL DRAFT

viii. Preservation Planning Program Resource Notebook and Manual

The Resource Notebook and the Manual for the Preservation Planning Program have proven to be popular among ARL members and other libraries, and both of these publications are being reprinted. Beginning in January 1989, the prices will increase. The new price for the Resource Notebook will reflect a substan-

tial improvement in its packaging: a sturdy three-ring binder and printed tabs for the 11 sections. (Libraries that have already purchased the Notebook will also have an opportunity to purchase the binder and tabs separately.) Specific information on the new prices and packaging will be sent to SPEC liaisons shortly.

ix. 1988 Automation Inventory

Update forms for the 1988 Automation Inventory have been received by nearly all ARL members. The forms -- designed for easy updating of the 1987 information -- are being used to compile the 1988 version of the inventory, which will be published in Fall 1988. The inventory will cover the same automated functions as in 1987, with the addition of CD-ROM.

B. SPEC Kits Produced

x. List of Liaisons Available. SPEC has created a list of SPEC Liaisons located at ARL libraries which includes their telephone numbers, ALANET electronic mail numbers, and FAX numbers.

Between May and September 1988, SPEC Kits were published on schedule on the following areas of interest:

Library Development and Fund Raising Capabilities (#146). With restricted budgets and rising materials costs (particularly serials), research libraries are becoming more involved in development and fund raising. Recent efforts encompass major campaigns, in some cases involving large sums over multiple-year time spans. The Kit includes results of two surveys of ARL members, staffing and organization documents from 10 institutions, five examples of presentations and activity reports, five examples of targeted gift campaigns, and eight examples of general campaign and endowment materials. July-August 1988.

Library Publications Programs (#145). Publications programs support library services and collections and to a lesser extent serve as a publishing outlet for staff. While in most research libraries, the development of publications is a grassroots activity with individual departments coordinating activities, some libraries operate centralized programs. This kit is based on survey responses from 110 ARL members and in-depth review of 16 centralized programs. The kit contains survey results; job descriptions from five institutions; questionnaires from two institutions; three reports and program descriptions; and seven policies, procedures and guidelines. June 1988.

Building Use Policies (#144). Policies developed during the past five years document a move toward more restrictions regarding smoking, food, and drink in research library buildings. At the same time, libraries are concerned with positively communicating the rationale for new policies, to gain the willing compliance of staff and users. The kit contains one-page of survey tallies, food and drink policies from 16 libraries, 14 smoking policies, 16 general building use policies, and four statements on aesthetics. May 1988.

III.5. The Training and Staff Development Program

During this period the following training events were conducted:

- A public Managing the Learning Process was held August 2-5, at the University of Notre Dame.
- A public Basic Management Skills Institute will be held in St. Louis September 6-9.
- A sponsored Basic Management Skills Institute was conducted in French at the National Library of Canada May 31 - June 3.
- A sponsored Basic Management Skills Institute was held at the National Agricultural Library June 6-9.
- A sponsored Basic Management Skills Institute was held in Buffalo for members of the SUNY library system June 20-23.
- A sponsored Basic Management Skills Institute was conducted in French at the National Library of Canada July 18-21.
- A one-day orientation program was conducted at the National Library of Canada July 14.
- A one-day orientation program was conducted in French at the National Library of Canada July 26.
- A sponsored Advanced Management Skills Institute will be held at the University of Nebraska - Lincoln September 25-30.

The Managing the Learning Process Institute: Designed in 1986/87, this new training program has already been presented four times. It was offered publicly for the first time during August 1987 in Baltimore. Johns Hopkins served as a host site for training projects designed and presented by the participants. It was also offered as a sponsored program by A.I.M.A. in Australia. In 1988, it was incorporated into the National Library of Canada's Training the Trainers program and presented in both English and French. It was held again this year at Notre Dame University, August 2-5.

The Creativity to Innovation Workshop: Design work has been completed for a two-day workshop on creativity. It will be offered December 7-9, 1988, in Washington, D.C. It will focus on understanding, developing and using personal creativity, as well as models, techniques and processes which promote organizational creativity. Publicity was distributed to the ARL membership, SPEC subscribers and press in June.

The Resource Management Institute: Financial Skills for Librarians: Design work has been completed for a 3 1/2-day institute on financial management systems. It will be offered October 25-28, 1988, in Nashville, Tennessee. It will focus on financial management, monitoring expenditures, planning and forecasting, and budget development. Publicity was distributed to the ARL membership, SPEC subscribers and press in June.

The schedule of public Institutes remaining in 1988 includes:

Basic Management Skills Institutes

November 15-18, 1988 Tucson, AZ

Advanced Management Skills Institute

November 6-11, 1988 Charleston, SC

Analytical Skills Institute

November 29 -
December 2, 1988 Austin, TX

Resource Management

October 25-28, 1988 Nashville, TN

Creativity to Innovation

December 6-9, 1988 Washington, DC

154

9/2/88

APPENDIX C

ATTENDANCE AT THE ARL/SCONUL JOINT MEETING NAME INDEX

ARL REPRESENTATIVES

Abell, Millicent D.

Bishop, David
Black, John
Boissé, Joseph A.
Boyer, Calvin J.
Bumble, H. David
Brynteson, Susan

Campbell, Jerry D.
Canelas, Dale
Carrington, Samuel
Chambers, Joan
Coté, Susan J.
Creth, Sheila D.
Cullen, Charles
Curley, Arthur

Fasana, Paul
Forth, Stuart
*Feng, Y.T.
Frantz, Ray
Freeman, Peter

Gapen, D. Kaye
Getz, Malcolm
Gherman, Paul M.
Govan, James F.
Gregor, Dorothy

*Hahn, Ellen
Hendrickson, Kent
Hill, Graham
Hoffmann, Ellen
Howard, Joseph
*Hunt, Donald R.

Jeffs, Joseph

Yale University

University of Illinois
University of Guelph
University of California, Santa Barbara
University of California, Irvine
University of Pittsburgh
University of Delaware

Duke University
University of Florida
Rice University
Colorado State University
Case Western Reserve University
University of Iowa
Newberry Library
Boston Public Library

New York Public Library
Pennsylvania State University
Harvard University
University of Virginia
University of Alberta

University of Wisconsin
Vanderbilt University
Virginia Polytechnic Institute and State University
University of North Carolina
University of California, San Diego

Library of Congress
University of Nebraska-Lincoln
McMaster University
York University
National Agricultural Library
University of Tennessee

Georgetown University

Karklins, Vija
Koepp, Donald
Kuhn, Warren B.

Laucus, John
Lee, Robert
Lee, Sul H.
Leinbach, Philip E.

McGowan, John P.
McInnes, Douglas
Miller, Charles E.
Moore, Carole

Nutter, Susan K.

Ormsby, Eric
Osburn, Charles B.
Otto, Margaret

Pastine, Maureen
Peterson, Kenneth G.
*Phipps, Shelley
*Polach, Frank

Reams, Jr., Bernard D.
Riggs, Donald
Rodgers, Frank
Rosenthal, Joseph A.
Runkle, Martin D.

Scott, Marianne
Sharrow, Marilyn J.
Shepherd, Murray
Shipman, George W.
Simpson, Donald B.
Sloan, Elaine
Smith, Elmer V.

Smith, John B.
Snyder, Carolyn
Stam, David H.
*Stanton, Lee
Studer, William J.
Taylor, Merrily E.
Terry, George D.
Thompson, James
Tolliver, Donald

von Wahlde, Barbara

Smithsonian Institution Libraries
Princeton University
Iowa State University

Boston University
University of Western Ontario
University of Oklahoma
Tulane University

Northwestern University
University of British Columbia
Florida State University
University of Toronto

North Carolina State University

McGill University
University of Alabama
Dartmouth College

Washington State University
Southern Illinois University
University of Arizona
Rutgers University

Washington University
Arizona State University
University of Miami
University of California, Berkeley
University of Chicago

National Library of Canada
University of California, Davis
University of Waterloo
University of Oregon
Center for Research Libraries
Columbia University
Canada Institute for Scientific and Technical
Information
State University of New York at Stony Brook
Indiana University
Syracuse University
New York State Library
Ohio State University
Brown University
University of South Carolina
University of California, Riverside
Kent State University

State University of New York at Buffalo

Weber, David
 Wiens, Paul
 *Wilding, Thomas
 Williams, James

Stanford University
 University of Saskatchewan
 Massachusetts Institute of Technology
 University of Colorado

* Alternate

ARL INSTITUTIONS NOT REPRESENTED

Brigham Young University
 University of California, Los Angeles
 University of Cincinnati
 University of Connecticut
 Cornell University
 Emory University
 University of Georgia
 Georgia Institute of Technology
 University of Hawaii
 University of Houston
 Howard University
 Johns Hopkins University
 University of Kansas
 University of Kentucky
 Laval University
 Linda Hall Library
 Louisiana State University
 University of Manitoba
 University of Maryland
 University of Massachusetts
 University of Michigan
 Michigan State University
 University of Minnesota
 University of Missouri
 National Library of Medicine
 University of New Mexico
 New York University
 University of Notre Dame
 Oklahoma State University
 Purdue University
 Queen's University
 University of Southern California
 State University of New York at Albany
 Temple University
 University of Texas
 Texas A & M University
 University of Texas
 University of Utah
 University of Washington
 Wayne State University

SCONUL REPRESENTATIVES

Baggett, Brian	University of Ulster
Bagnall, John M.	University of Dundee
Bainton, A. J. C.	University of Reading
Baker, David. M.	University of East Anglia
Banks, Rex	British Museum (Natural History)
Bloomfield, Barry C.	British Library Humanities and Social Science Division
Bradbury, David A. G.	British Library Document Supply Centre
Breaks, Michael	Heriot-Watt University
Brindley, L. J.	University of Aston
Brown, Nora	University College, Cork
Burch, Brian	University of Leicester
Butler, Robert	University of Essex
Carr, Reg	University of Leeds
Cooper, Mary I.	University of Swansea
Davies, Arthur	University of Lancaster
Day, M. P.	University of Manchester Institute of Science and Technology
Dieneman, W. W.	University of Aberystwyth
Enright, Brian J.	University of Newcastle
Fox, Peter K.	Trinity College, Dublin
Fox, R.	Science Museum
Fox, R. Victor	City University, London
Friend, Fred J.	University College, London
Graham, Thomas W.	University of York
Hall, A. T.	University of Aberdeen
Hannon, Michael S. M.	University of Sheffield
Harris, Colin G. S.	University of Salford
Harrison, Albert	Strathclyde University
Heaney, Henry J.	University of Glasgow
Higham, Norman	University of Bristol
Hoare, Peter A.	University of Nottingham
Hopkins, Mike	University of Technology, Loughborough
Hunt, C. J.	British Library of Political and Economic Science
Kabdebo, T.	St. Patrick's College, Maynooth
Knight, Victor E.	University of Liverpool
Laidlar, John	University of Manchester
Law, Derek G.	King's College, London
Lilley, G. P.	St. David's University College, Lampeter
McAulay, Agnes M.	University of Durham
Mackenzie, A. Graham	University of St. Andrews

Madden, J. Lionel	National Library of Wales
Moon, Brenda E.	University of Edinburgh
Naylor, Bernard	University of Southampton
Parry, Victor T. H.	University of London
Peasgood, A. N.	University of Sussex
Phillips, Sean	University College, Dublin
Quinsee, A. G.	Queen Mary College
Ratcliffe, Frederick W.	University of Cambridge
Roberts, E. F. Denis	National Library of Scotland
Roberts, Brynley F.	National Library of Wales
Russon, David	British Library Document Supply Centre
Simpson, D. John	Open University
Simpson, W. G.	University of Surrey
Simpson, W. J.	University of Kent
Smethurst, J. Michael	British Library Humanities and Social Sciences Division
Stevenson, Malcolm B.	University of Bradford
Stirling, John F.	University of Exeter
Thompson, B. A.	Brunel University
Thompson, J.	University of Birmingham
Vaisey, David G.	Bodleian Library
Wellesley-Smith, Hugh	University of Leeds
Wood, David	British Library Document Supply Centre

SCONUL INSTITUTIONS NOT REPRESENTED

Birbeck College
Imperial College
Public Record Office
Royal Holloway and Bedford New College
School of Oriental and African Studies
School of Slavonic and East European Studies
Taylor Institution
University College, Cardiff
University College, Galway
University College of North Wales
University of Hull
University of Keele
University of Wales Institute of Science and Technology
University of Warwick
Victoria and Albert Museum

ARL STAFF

Webster, Duane E.
Barrett, Jaia
Daval, Nicola
Gardner, Jeffrey J.

Executive Director
Assistant Executive Director
Program Officer
Director, Office of Management Services

SCONUL STAFF

Loveday, Anthony J.
Ridings, Jean E.

SCONUL Secretary
SCONUL Secretarial and Personal Assistant

GUESTS

Battin, Patricia
Bowden, Russell
Brown, Rowland C. W.
Forty, A. J.
Line, Maurice B.
McNiff, Philip J.
Martin, Sue
Pelikan, Jaroslav
Price, W.
Toombs, Kenneth

Commission on Preservation and Access
The Library Association
OCLC, Inc.
University of Stirling

NCLIS
Yale University
Council of Polytechnic Librarians (COPOL)



ASSOCIATION OF RESEARCH LIBRARIES

The Association of Research Libraries (ARL) began in 1932 as a somewhat informal group of 42 libraries, organized by the directors of several major university and research libraries who recognized the need for a cohesive group both for coordinated action and to serve as a forum for common problems. Its stated objective was "... by cooperative effort to develop and increase the resources and usefulness of research collections in American libraries." This objective continues to be the basis of the mission statement which guides the Association today: "To strengthen and extend the capacities of Association members to provide access to recorded knowledge and to foster an environment where learning flourishes, to make scholarly communication more effective, and to influence policies affecting the flow of information."

The membership stayed relatively stable for the first 20 years or so, and the number of members had grown to only 49 by 1956. At that time, it became apparent that the demographics of higher education had changed during the decade following World War II, and the number of institutions with research institutes and graduate programs had increased enormously. In 1962, with support from the National Science Foundation, the association was reconfigured to reflect a more active, operational stance. A permanent secretariat was established in Washington with, for the first time, a paid executive director and staff. At that time, 23 libraries were invited to join ARL, and over the next 26 years, 46 more libraries were added. The current membership numbers 118; 106 members are academic libraries, the remainder are the national libraries of the United States and Canada and several public and special libraries with substantial, broad-based research collections.

The board of directors is the governing and policy making body for the association. The ARL staff numbers 13 FTE, including the Executive Office and the Office of Management Services. Duane E. Webster became Executive Director early in 1988.

In carrying out its mission, ARL works regularly with many library, higher education, scholarly, and government organizations. These include: the American Library Association, IFLA, the Council on Library Resources, the Commission on Preservation and Access, the National Humanities Alliance, the Society for Scholarly Publishing, the Association of American Universities, the American Association of University Presses, the American Council of Learned Societies, EDUCOM, the National Commission on Libraries and Information Science, and the National Information Standards Organization.

Issues of current interest to ARL include scholarly communication, building library collections and ensuring widespread access to them, preservation, the expanding impact of technology in the research library environment, library education, information policy and legislative affairs relating to research libraries and scholarship, staffing for research libraries, and library management and statistics. Major projects include: the Serials Pricing Initiative, the NRMM Recon Project, the North American Collections Inventory Project, and the Institute on Research Libraries for Library School Faculty.

Office of Management Services

The Office of Management Services (OMS) was established in 1970 by ARL to help research libraries improve their management and service capabilities as they adapt to a changing world of scholarship and information, to new technological developments, and to increasingly stringent economic conditions. To achieve these ends, OMS offers consultation and assisted self-study services; provides training opportunities on a variety of topics; publishes a wide range of materials on management techniques, technology, and staff development; and conducts other projects geared toward solving the organizational problems of research libraries. Jeffrey J. Gardner is the Director of OMS.

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Task Forces:

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 Review of the ARL Five Year Plan (chair: D. Kaye Gapen, University of Wisconsin)

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 ALA0914: Duane Webster
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 ALA0913: Maxine Sitts
 ALA0921: Jutta Reed-Scott
 ALA0763: Susan Jurow
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September 1988

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STANDING CONFERENCE OF NATIONAL AND UNIVERSITY LIBRARIES

The Standing Conference of National and University Libraries (SCONUL) was founded in 1950 to represent the interests of the libraries of member institutions by providing a forum for the exchange of information and the marshalling of collaborative effort. In promoting the aims of national and university libraries, SCONUL also represents their interests to government, official and semi-official bodies as the need arises.

The responsibilities for governance lie with an elected Council of ten member representatives. A full-time Secretariat has been established since 1970 and is presently located in London. Anthony J. Loveday is the current Secretary of the Standing Conference.

Membership is by invitation and with few exceptions the universities in the United Kingdom and the Republic of Ireland are in membership together with all the major regional libraries; the Public Record Office and all the Divisions of the British Library are represented in the membership. There are at present 73 voting representative and 9 non-voting representatives to SCONUL.

SCONUL holds plenary meetings twice yearly at which each member institution is represented by its chief library officer. There are a number of Advisory Committees dealing with such interests as automation policy, buildings, education, training and staffing matters, information services, investigatory projects, manuscripts, recurring expenditure, relations with the book trade and statistics. There are also Advisory Committees concerned with the interests of area specialists (e.g. in the fields of American, Latin American, Medieval, Oriental and Slavonic Materials) who are thus enabled to collaborate closely with the parent body.

SCONUL is formally represented on a number of bodies, such as the International Federation of Library Associations and Institutions (IFLA), the Committee on Libraries of Vice-chancellors and Principals, and on the Joint Consultative Committee of ASLIB, the Institute of International Scientists, the Library Association, SCONUL and the Society of Archivists. It has observer status on certain Library Association committees and on the Council of Polytechnic Libraries, as well as informal representations on a large number of professionally related organizations.

The Standing Conference also operates a clearing center for applicants for the SCONUL Trainee Scheme, which places aspiring post-graduate entrants to the profession in a university or national library for a year's practical experience prior to attending a full-time course at a school of library and information studies.

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